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John C. Stennis Space Center
Records Management Program Requirements

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PREFACE

P.1 PURPOSE

a. This Stennis Procedural Requirements (SPR) directive implements Stennis Space Center (SSC) records management requirements and procedures in accordance with NASA Policy Directive (NPD) 1440.6, *NASA Records Management,* and NASA Procedural Requirements (NPR) 1441.1, *NASA Records Retention Schedules* and provides further requirements for implementing the SSC Records Management Program.

b. This SPR establishes the requirements for identifying, collecting, indexing, accessing, filing, storing, maintaining, retrieving, and dispositioning NASA/SSC records.

c. This directive supplements SPR 1280.1, SSC Management System Requirements and SPR 8500.1, Environmental Management System Procedural Requirements for the identification, collection, and management of quality records.

d. This directive also establishes the requirements for the identification, management, and preservation of Vital Records at SSC to ensure the availability of such records for the continuity of operations and resumption of activities in the event of emergency or disaster situations.

P.2 APPLICABILITY

a. This SPR is applicable to all NASA/SSC personnel.

b. This SPR is applicable to SSC contractors to the extent specified in their respective contracts.

c. This SPR is applicable to all files and records generated in the conduct of SSC business and to those quality records required to demonstrate conformance to specified requirements and the effective operation of the SSC management systems for quality and environmental management.

d. This SPR is applicable to all personnel and/or organizations that generate, file, store, maintain, disposition, and control NASA-owned records at SSC.

e. Within this directive, requirements for which compliance is mandatory are identified by the word *shall*. However, contextual information is included to aid in the understanding of requirements. Guidance necessary to support and implement the objectives of this directive is contained in appendixes to this directive.

P.3 AUTHORITY

a. The Freedom of Information Act, as amended, 5 U.S.C. 552.

b. The Privacy Act of 1974, as amended, 5 U.S.C. 552a.

c. The National Aeronautics and Space Act of 1958, as amended, 42 U.S.C 2473 (c)(1).

d. 44 U.S.C. Chapters 29, 31, 33.

e. Paperwork Reduction Act, 44 U.S.C. 3501 et seq.

f. National Archives and Records Administration, Records Management, 36 CFR Parts 1220-1238.

g. Assignment of Emergency Preparedness Responsibilities Executive Order 12656 as amended, Sections 201, 202, 1901, and 2001 (November 18, 1988).

h. Continuity of the Executive Branch of the Federal Government at the Headquarters Level During National Security Emergencies, Federal Preparedness Circular (FPC) 60, Section 11.

i. Continuity of the Executive Branch of the Federal Government at the Regional Level During National Security Emergencies, Federal Preparedness Circular (FPC) 64, Section 1.

j. Management of Federal Information Resources, OMB Circular A-130.

k. Internal Control Systems, OMB Circular A-123.

l. NPR 1040.1, NASA Continuity of Operations (COOP) Planning Procedural Requirements.

m. NPD 1440.6, NASA Records Management.

P.4 APPLICABLE DOCUMENTS

a. Maintenance and Publication Requirements for Systems of Records, 14 CFR, Chapter V, Part 1212.6.

b. National Archives and Records Administration, Management of Vital Records, 36 CFR 1236.

c. NPD 1382.17, NASA Privacy Policy.

d. NPR 1441.1, NASA Records Retention Schedules.

e. NPR 1600.1, NASA Security Program Procedural Requirements.

f. NASA Financial Management Manual (FMM), Vital Records and Emergency Operations, FMM 9660.

g. SPR 1280.1, Stennis Management System Requirements.

h. SPR 8500.1, Environmental Management System Procedural Requirements.

i. SCWI-1280-0001, Management System Internal Audits.

j. SPLN 1040-0005, SSC Continuity of Operations Program (COOP) Plan.

k. SPLN-1040-0006, SSC Emergency Management Plan.

l. National Archives and Records Administration (NARA) General Records Schedules (GRS).

P.5 MEASUREMENT/VERIFICATION

Verification and measurement for compliance to this directive will be tracked through:

a. Spot checks and reviews.
b. Periodic Records audits.
c. Management System Audits.

P.6 CANCELLATION

SSLP-1440-0001, SSC Records Management Program and Control of Quality Records.

Signature on File

Richard J. Gilbrech, Ph.D.
Director

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CHAPTER 1 INTRODUCTION – RECORDS MANAGEMENT OVERVIEW

1.1 What Are The Requirements For Records Management?

a. The maintenance and preservation of government records is required by law and NASA policy. Requirements are stated in 36 CFR Part1220 and 1222 and NPD 1440.6, NASA Records Management. The proper identification, management, retention, and disposition of records are mandated.

b. The unlawful alienation, alteration, removal, or any accidental or unauthorized destruction of records, including all forms of mutilation is prohibited. Further, the law requires that all employees must be made aware of the provisions of the law and that any unlawful actions must be reported.

c. Records and their management are subject to review, audit, and investigation by NASA, Federal or other legal authorities.

d. Ignoring the requirements stated in 36 CFR Part1220 and 1222 and NPD 1440.6, NASA Records Management can be costly and can result in punitive actions.

- Legal costs, fines and penalties.
- Disciplinary actions or loss of job.
- Loss of a government contract.
- Prosecution and incarceration.

1.2 What Is Records Management?

Records management is the planning, controlling, organizing, training, promoting, and other management activities with respect to the life cycle of records. The life-cycle concept is depicted below in Figure 1.

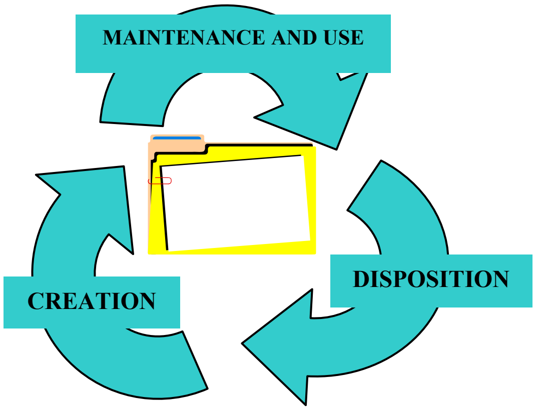


Figure 1 - Records Management Life Cycle

1.3 What Is a Record?

a. The statutory definition of Federal records as contained in 44 U.S.C. Section 3301 and defined in NPR 1441.1 is:

> “…"records" includes all books, papers, maps, photographs, machine readable materials, or other documentary materials, regardless of physical form or characteristics, made or received by an Agency of the United States Government under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that Agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of data in them. Library and museum material made or acquired and preserved solely for reference or exhibition purposes, extra copies of documents preserved only for convenience of reference, and stocks of publications and of processed documents are not included.”

b. Records are the evidence of the performance and fulfillment of our mission and work objectives. A record is any document or data item that furnishes objective evidence of tasks required, activities performed, or results achieved. NASA cannot effectively carry out its mission without records.

c. Records are recorded information, regardless of media or format, in the custody and control of NASA or its contractors, and made or acquired by NASA or its contractors as part of official duties and in the conduct of government business.

d. Records can take many forms, belong to the government not to individuals, and have value because they contain evidence or information.

e. Records are valuable to NASA and the Government for:

- Administrative value – they document how the Agency has carried out its mission.
- Fiscal value – they document how the Agency has utilized its financial resources.
- Legal value – they protect the rights of the Agency and/or individuals.
- Evidential and Informational value – they show that *something happened* and *what it was.* The value of the record is derived from the information it contains on persons, places, events, etc. and not necessarily on the originating agency itself.
- Research and historical value – they provide the raw materials for research of Agency, technological and cultural history and preserve the legacy for the future.

1.4 Do I Have Records?

Everyone generates, handles, uses or keeps records in one form or another every day. All must be managed and disposed in accordance with schedules for their retention and disposition. Records encompass paper, film/video, and electronic documents and data and include the email and documentation housed on personal computers. Consult the appendixes to this directive for records management terminology and guidance in identifying records.

1.5 What and Where are the Retention and Disposition Requirements?

a. Retention/disposition schedules are established for all types of records based on preservation requirements for administrative, legal, fiscal, and historical purposes.

b. The schedules for retention and disposition define and categorize records by subjects and types: permanent, temporary and non-records. They provide mandatory instructions for what to do with records when they are no longer needed for current Government business.

c. NASA requirements are provided in NPR 1441.1, NASA Records Retention Schedules (NRRS). Additional applicable instruction is provided in the GRS of the Federal Government issued by NARA.

d. The NRRS provides and defines retentions for records within subject areas in ten schedules:
  (1) Schedule 1 – Organization and Administrative Records.
  (2) Schedule 2 – Legal and Technical Records.
  (3) Schedule 3 – Human Resources (Personnel) Records.
  (4) Schedule 4 – Property and Supply Records.
  (5) Schedule 5 – Industry Relations and Procurement.
  (6) Schedule 6 – Transportation.
  (7) Schedule 7 – Program Formulation Records.
  (8) Schedule 8 – Program Management Records (Note: this schedule includes Project Management and Performance Records for R&D programs).
  (9) Schedule 9 – Financial Management and Inspector General Records.
  (10) Schedule 10 – Records Common to Most Offices.

e. In some cases other Federal, state, or local requirements may apply to the retention of records. Consult with the SSC Records and Documentation Management Office (RDMO) regarding these requirements.

f. The NRRS is available through the SSC portal page under Reference Library/Policies & Procedures/NASA Online Directives Information System (NODIS). NPR 1441.1 is found under the 1000 series documents. The GRS may be accessed through NODIS under *Useful Links*.

1.6 What do I Need to Know?

a. A basic understanding of records terminology is essential to the performance of records management. Key records terminology and definitions are provided in Appendix B of this directive. Terminology and definitions are also provided in the Glossary to NPR 1441.1.

b. Following chapters of this directive provide the responsibilities and requirements for records management. Consult the appendixes for instructional notes, guidance, and “how to” instructions for accomplishing the requirements. Guidance and training is also available through the SSC RDMO.

CHAPTER 2 ROLES AND RESPONSIBILITIES

2.1 Center Director

The Center Director is responsible for:

a. Ensuring the implementation of an effective Center records management program.

b. Formal delegation of a Center Records Manager and Vital Records Manager.

c. Ensuring that organizations generating statements of work for contract procurements include appropriate records management requirements to comply with NPD 1440.6 and its authorities in all NASA contracts involving the creation or maintenance of Federal records.

2.2 Office of the Chief Information Officer (CIO)

The Office of the CIO is responsible for:

a. The overall direction of the SSC Records Management Program.

b. Designating the SSC Records Manager/Vital Records Manager to guide and oversee records management functions at SSC.

c. Assuring through the records management function, the provision of technical assistance and procedural advice, as needed, on creating, maintaining, using, archiving and disposing of Federal records, and provision of training for records custodians.

d. Ensuring incorporation of records management and archival functions into the design, development, and implementation of Information Technology (IT) systems.

e. In coordination with the Records Manager, implementing electronic records management.

2.3 SSC Officers and Managers

SSC Officers and Managers are responsible for:

a. Promoting records management and appropriate practices within their organizations.

b. Ensuring personnel understand their responsibilities and receive training as appropriate.

c. Ensuring that adequate and appropriate record-keeping systems are established.

d. Instituting effective records management practices to carry out the provisions of NASA records management rules.

e. Ensuring that records are identified and managed in accordance with NPR 1441.1 and other applicable regulations.

f. Designating one or more Records Custodians for their organization and its elements to maintain, administer, and manage the organization's records.

g. Including records management and archival requirements when planning all IT applications, to determine what impact, if any, the application will have on the Center's ability to document its activities and assure that electronic records within IT applications are managed in compliance with retention requirements.

h. Assuring the prevention of the unlawful alienation, alteration, removal, or any accidental or unauthorized destruction of records, including all forms of mutilation.

2.4 SSC Records Manager (RM)

The SSC Records Manager is responsible for:

a. Managing and promulgating the SSC Records Management Program and guiding the overall implementation of records management activities at SSC including the development of SSC policies and procedures.

b. Serving as the point of contact (POC) with Center and Agency management on records management topics including preparing reports, responses, and recommendations for Center and Agency issues.

c. Reporting to the Center and Agency any actions of unlawful alienation, alteration, removal, or any accidental or unauthorized destruction of records, including all forms of mutilation.

d. Leading the execution of Center-wide initiatives on records management such as organizational records inventorying and the development of electronic records management policies and procedures.

e Providing or assuring the provision of technical guidance in managing records from creation through disposition and for training of civil servant employees including managers, records custodians, and SSC contractors who create or maintain NASA-owned records.

f. Conducting records management reviews of file indices, filing systems, and records holdings inventories as necessary.

g. Conducting periodic evaluations of records management practices throughout the Center, identifying and documenting issues and discrepancies, and communicating corrective actions.

h. Assuring the disposition of records and reduction of records holdings in accordance with NRRS requirements.

i. Managing the SSC Records Storage/Archival facility and its contents.

j. Serving as the SSC Vital Records Manager and implementing the Vital Records protection program in coordination with the SSC Emergency Director and in concert with SPLN 1040-0005, SSC Continuity of Operations Program (COOP) Plan and SPLN-1040-0006, SSC Emergency Management Plan.

k. Maintaining an inventory of Vital Records and aiding in the establishment of processes to ensure that copies of current vital records are routinely backed up and/or preserved in prescribed systems or locations for immediate access when an emergency is declared, for use during the emergency, and for resumption of business afterwards.

l. Assisting Records Custodians in identifying, maintaining, and protecting their organization's Vital Records.

m. Coordinating with individuals clearing the Center to ensure that all records in the responsibility, possession, or custody of the individual, whether in file cabinets, servers, etc., are transferred to their supervisor or the individual taking over their function.

n. Authorizing the transfer to or return of records from the Federal Records Center or NARA.

o. Directing and guiding the activities of the RDMO for the conduct of the day-to-day operations and implementation of SSC records management activities.

p. Monitoring and approving records destruction activities.

q. Responding to Freedom of Information Act (FOIA) requests for records and information and authorizing any release of records in conjunction with the FOIA Officer and Chief Counsel.

r. Assuring the identification and marking of Privacy Act and other Sensitive But Unclassified (SBU) records and providing for the protection of such records from inappropriate disclosure or release.

2.5 Records and Documentation Management Office (RDMO)

The SSC RDMO operates under the direction of the SSC Records Manager. The RDMO is responsible for:

a. Assisting and supporting the SSC Records Manager in the implementation and administration of the overall SSC Records Management Program.

b. Conducting day-to-day SSC records management operations.

c. Providing help-desk support and records management training/guidance for SSC personnel and organizations.

d. Managing the SSC Records Storage/Archive facility and associated records transfer and disposal functions.

e. Providing recommendations for and aiding the development and implementation of SSC records management processes and systems.

f. Conducting surveys, inspections, and investigations and preparing reports and responses for and on behalf of the Records Manager.

g. Maintaining the records of the Records Management program and maintaining a Master Records Index (MRI) of RDMO holdings.

2.6 Contractors

To the extent of the terms provided in their respective contractual documents and as may be further applicable in this directive, Contactors are responsible for:

a. Complying with NASA records management policy and procedural requirements stated in NPD 1440.6, NPR 1441.1, and this directive.

b. Implementing internal records management practices that meet organizational needs and are compatible with the NPD, NPR, and of this directive including: (1) designating, and assuring training for, Records Custodians as appropriate, (2) designating official file stations or areas where appropriate, (3) identifying Vital Records, if applicable, and (4) assuring that all personnel are informed of their records management responsibilities.

c. Segregating and managing separately Contractor records from NASA-owned, Contractor-held records.

d. Preparing and maintaining MRI(s) of all NASA-owned records, including Vital Records and submitting updates at a minimum on an annual basis to the Records Manager and by publication in the SSC TechDoc System.

e. Designating Records Custodians for their organizational elements with responsibility for managing the records of that element and preparing and maintaining an MRI.

f. Managing and transferring inactive or non-current NASA-owned records to SSC storage/archival throughout the term of the contract or a project period and at the end of the contract period or specific project.

g. Ensuring and providing for the formal transfer of active NASA-owned records to NASA custody or to another contractor at SSC's direction at completion of the contractual agreement.

h. Preparing a Records and Documentation Management Plan or plans, if required by the contract, that outlines how the contractor will manage and control its and NASA's records and documentation and how information will be disseminated to personnel.

2.7 Offices of Primary Responsibility (OPR)/Offices of Record – Organizations and Departments

Organizations creating and holding records are responsible for:

a. Implementing internal records management practices that meet organizational and function needs and are compatible with the NPD, NPR, and of this directive.

b. Identifying and capturing all records in all forms, formats, and media created and maintained by the organization and establishing appropriate filing and record-keeping systems for such that meet the needs of the organization and are compatible with the NPD, NPR, and of this directive.

c. Retiring and archiving inactive records at intervals prescribed by the NRRS and at the completion of projects. Specific requirements and guidance regarding the preservation and retention of Program and Project records are provided in Schedule 8, Items 101 through 113.

d. Maintaining MRI(s) for their organization and updating by December 31 at least annually.

e. Assuring all organization personnel are aware of records management requirements and ensuring training as needed.

f. Segregating records and non-records and permanent and temporary records in filing systems and marking and labeling all records and systems with the correct retention and disposition information in accordance with the NRRS, NPR 1441.1.

g. Reviewing formal Requests for Records Destruction from the Records Manager, and providing approval for destruction of those records that have reached the end of their required retention.

h. Identifying, appropriately marking, and protecting Privacy Act Records and Privacy Act Systems of Records (PASR) in accordance with NPD 1382.17, NASA Privacy Policy.

i. Considering the potential historical or technological significance of records and exercising particular attention to disposition of these records when programs and projects are completed or program/project offices are discontinued. Specific Requirements and guidance regarding the preservation and retention of Program and Project records are provided in Schedule 8, Items 101 through 113.

j. Providing copies of records significant to the cultural or technological history of SSC to the SSC History Office. Note: The originals of these records should be handled in accordance with the NRRS.

2.8 Records Custodians

Records Custodians are responsible for:

a. Identifying organizational records, establishing record-keeping or filing systems appropriate to the needs of the organization and compatible with the NPD, NPR, and of this directive, and marking and labeling all records and systems with the correct retention information.

b. Segregating records and non-records and permanent and temporary records in filing systems and marking and labeling all records and systems with the correct retention and disposition information in accordance with the NRRS, NPR 1441.1.

c. Preparing and maintaining the MRI(s) including the identification of electronic records and Vital Records and publishing in the SSC TechDoc System.

d. Revising MRIs as changes occur and/or ensuring their update on an annual basis by December 31.

e. Retiring, archiving, or disposing inactive or non-current records from file systems at intervals prescribed by the NRRS and at the completion of projects.

f. Managing the organization's records and promulgating correct records management practices within the organization.

g. Serving as the POC for their organization for records management functions and coordinating with the SSC Records Manager to ensure the proper creation, maintenance, and disposition of all records generated within their respective organizations.

h. Coordinating with the SSC Records Manager to identify and ensure preservation of their organization's Vital Records, including any in the possession of contractors.

i. Conducting annual reviews of Vital Records and ensuring copies of active/current materials are regularly stored for preservation in the event of an incident.

j. Coordinating with any distributed contacts or sub-custodians responsible for sub-sets of records for the preparation of the MRI and providing oversight for the management of the records involved. Distributed contacts and sub-custodians bear the same responsibility as the Custodian in ensuring the proper management of records.

k. Ensuring the identification and marking of Privacy Act records and SBU records.

2.9 Individual Personnel

Personnel are responsible for:

a. Understanding their basic records management requirements and properly managing the records in their possession.

b. Understanding the difference between a record and non-record and knowing how or where to submit and file records.

c. Ensuring that all non-records are properly disposed of and record materials (including electronic files) are transferred to their supervisor or the individual taking over the function upon their transfer, retirement, or termination.

2.10 Acquisition Management Activities

2.10.1 Acquisition Management Office (AMO)

The AMO is responsible for:

a. Providing procurement advice on records management questions relative to contracts and solicitations.

b. Coordinating requirements in solicitations and contracts, including appropriate data requirements, with the requirements' organization and the RM to ensure appropriate records management requirements are included in appropriate procurements.

c. Coordinating with the RM the proper close out and turn-over of records upon completion of contracts.

2.10.2 Requirements Organizations

a. Organizations that create Statements of Work (SOW), requirements, specifications, etc. for solicitations and contracts are responsible for including appropriate and specific language concerning records management requirements in all contracted endeavors that involve creation or maintenance of NASA records.

b. Statements of records management requirements should ensure proper management of NASA records in accordance with NPD 1440.6 and NPR 1441.1. The requirements may be inserted via wording or Contract Article. An example of specific provisions is provided in the sample paragraph provided in Figure 2 below. Other specifics may be appropriate; specific requirements should be assessed for each endeavor.

> "NASA-owned/contractor-held records shall be managed by the Contractor in accordance with NPD 1440.6, NASA Records Management Program, NPR 1441.1, NASA Records Retention Schedules, and SPR 1440.1, SSC Records Management Program Requirements. The Contractor shall maintain records separately from non-records and records having permanent value separately from records having temporary value. NASA-owned records shall be segregated from the Contractor's records. The Contractor shall dispose of records and non-records in accordance with NPR 1441.1, NASA Records Retention Schedules. Active or current NASA-owned records shall be turned over to NASA at the completion of the contract for the continuity of NASA business. Inactive or non-current records shall be transferred to the SSC Records Archive for management of disposition."

Figure 2 - Sample Records Management Requirements Statement

2.11 Privacy Officer/Export Control Officer

The SSC Privacy Officer/Export Control Officer is responsible for:

a. Administering and coordinating SSC's implementation of Privacy Act requirements contained in 14 CFR Chapter V, Part 1212.6, Maintenance and Publication Requirements for Systems of Records and NPD 1382.17, NASA Privacy Policy.

b. Coordinating with the SSC Records Manager for the identification of Privacy records and systems containing such records protected by the Privacy Act and ensuring their protection from inappropriate disclosure or release.

c. Administering and coordinating SSC's implementation of regulations regarding the control and release of all SBU information (including all Export Controlled information) as required by NPR 1600.1, NASA Security Program Procedural Requirements.

2.12 Office of Chief Counsel

The Office of Chief Counsel is responsible for:

a. Providing legal advice on records management questions.

b. Reviewing formal Requests for Records Destruction from the Records Manager, and providing approval for destruction of those records that have reached the end of their required retention.

2.13 History Office

The History Office is responsible for:

a. Ensuring that only copies or duplicates of original records are contained and maintained within the History Office collection and that any and all original records received and/or maintained by the History Office are managed in accordance with the schedules of the NRRS.

b. Providing guidance on the potential historical value and disposition of unusual accumulations of documentary materials, personal files of officials, or specialized collections of NASA or non-NASA records that could be of significance to establishing and retaining the history of NASA programs and projects.

2.14 Emergency Director

The SSC Emergency Director is responsible for:

a. Coordinating with the SSC Records Manager to identify and maintain an inventory of those Vital Records that must be preserved for use during an emergency situation and those required for resumption of business.

b. Securing in shelters or arranging access to protected resources for those Vital Records required by the Emergency Relocation Group for conduct of activities during an emergency.

2.15 Management System Representative (MSR)

The MSR is responsible for implementing the SSC Management System for quality and for providing guidance and training to SSC personnel relative to Quality Records requirements for the maintenance of the system and ISO certification.

CHAPTER 3 RECORDS MANAGEMENT REQUIREMENTS

3.1 General Practice

a. SSC generally utilizes decentralized filing methodologies. To the greatest extent possible, uniform, economical, and efficient practices shall be used to maintain records.

b. Record-keeping or filing systems shall be established appropriate to the functional and operational needs of the organization and compatible with the NPD, NPR, and this directive. Guidance on the establishment of filing systems and filing methodologies is provided in the appendixes to this directive.

c. Records and filing systems shall be stored in a suitable environment to prevent damage, deterioration and loss.

d. Records and non-records shall be arranged and grouped functionally to provide for rapid filing, ready reference, and prompt disposition.

e. Records shall be separated from non-records, permanent from temporary, and personal papers and contractor-owned records from NASA records. Guidance on identifying categorizing records is provided under definitions and other appendixes to this directive.

f. All records in all forms and all media formats shall be identified and managed in accordance with the NRRS.

g. The same policies and procedures and retention requirements that apply to paper records shall be also applied to electronic records.

h. All records shall be labeled to indicate the type of record and its retention and disposition requirements.

i. Labeling or marking shall include the following information:
   (1) Applicable AFS number from the NRRS.
   (2) Title or description of the records.
   (3) Specific NRRS schedule or other applicable citation covering the records.
   (4) Disposition (minimum records retention) requirement.
   (5) If the record is a Vital Record.

j. The design and development of all IT systems and applications shall address and incorporate records management requirements.

k. All organizations shall designate a Records Custodian or Custodians to be responsible for the overall identification and management of the organization's records.

l. All organizations shall keep and maintain records in their official file sets on their records management activities. Examples of records to be retained include:

   (1) Copies of each MRI and each revision.
   (2) Copies of records transfers to archive storage.
   (3) Records of records transfers to new or other organizations.

(4) Records showing disposition of records and/or destructions.
(5) Copies of organizational file plans and office filing system instructions.

3.2 Master Records Index (MRI)

a. All organizations shall develop and maintain MRI(s) identifying all NASA records in all mediums and formats created, held, or managed by the organization.

b. Records/files found in operating offices for which there are no approved disposition standards (see definition of *Unscheduled Records*) shall be included in the MRI, annotated as “Unscheduled,” and reported to the Records Manager or RDMO for coordination of an appropriate disposition through the NASA Records Officer.

c. MRIs shall be maintained and updated as changes occur and/or at a minimum reviewed/revalidated and updated annually by December 31.

d. MRIs shall be published in the SSC TechDoc System by each organization.

e. MRIs shall include the following information:

(1) The name of the Office of Primary Responsibility (organization)
(2) Office/Organizational Identification Code
(3) Name and phone number of the Records Custodian
(4) The date of MRI preparation or review/update
(5) A listing of all organizational records by:
  - AFS Number/Records Subject Area.
  - Records Title/Description that clearly indicates the records medium (e.g., paper, electronic, video, etc.).
  - Identification if the records are Vital Records.
  - Location where the records are held (building/room number, or name of electronic system, etc.).
  - Name of POC responsible for records if not the designated named Records Custodian.
  - The disposition/retention period specified by the NRRS or other applicable citation schedule.
  - The disposition schedule citation for the records (e.g., NRRS Schedule, GRS, or other applicable citation).
  - Identification of any specific document or documents requiring these records to be kept as part of a process or procedure. (Note: this is a SSC Management System requirement to aid in the identification of “quality records”).

Note: Consult the appendixes of this directive for a sample MRI template and instructions for preparing and maintaining a MRI.

3.3 Retiring, Disposing, and Destroying Records

a. Records shall be retired and/or purged from active filing systems when no longer current, inactive, when no longer needed, and when projects are completed. Retirement and purging intervals are prescribed by the NRRS. See the appendixes to this directive for SSC instructions and the process for retiring records to the SSC Storage Facility/Archive.

b. No records shall be destroyed without an approved disposition schedule and all destructions shall be in accordance with requirements specified in the NRRS or as defined in this directive. Consult with the SSC Records Manager and/or the RDMO for information and guidance on disposal of records. The Records Manager and/or RDMO can provide guidance if disposal/destruction of records is permissible by an organization. Disposal and destruction of certain records by an organization is permitted by the NRRS.

c. Major bulk records destruction efforts of archived records shall be conducted only by and through the auspices of the SSC Records Manager.

d. Records shall be disposed of in accordance with NPR 1441.1. There are three general categories for determining disposition (reference definitions and guidance in the appendixes):

(1) Temporary Records approved by NARA for disposal, either immediately or after a specified retention period.

(2) Permanent Records that are appraised by NARA as having sufficient historical or other value to warrant continued preservation by the Federal Government beyond the time they are needed by NASA or SSC for administrative, legal, or fiscal purposes.

(3) Non-records that are materials which are retained for reference and informational purposes only and may be disposed when reference value ceases.

3.4 Records and Changes in Organizations

a. Organizations shall coordinate with the Records Manager when major changes in organization occur to ensure proper transition of records to a new organization and/or the proper disposition of the existing records within the original OPR. The unauthorized destruction of records is prohibited and the movement and/or changes in records custodianship must be accounted for.

b. Any disposition of records shall be in accordance with the NRRS and coordinated through the Records Manager and/or the RDMO.

c. New organizations shall identify and appoint a Records Custodian and notify the Records Manager of the appointee’s name and location.

d. New MRIs shall be created for the new organization reflecting only those records now in its responsibility.

e. Organizations shall notify the Records Manager when designated Records Custodians are changed and ensure that MRIs are updated to reflect the change in responsibility and show those records now within its care.

3.5 Management of Quality Records

a. Originators of records shall ensure that Quality Records are clearly identified and traceable to either the product or service involved. See definition of Quality Record in the appendix.

b. Quality Records shall be maintained and managed in accordance with the procedures of this directive and the NRRS.

c. Originators of Quality Records shall ensure that the organizational Records Custodian is informed for inclusion in the establishment of records filing systems and identification on the MRI.

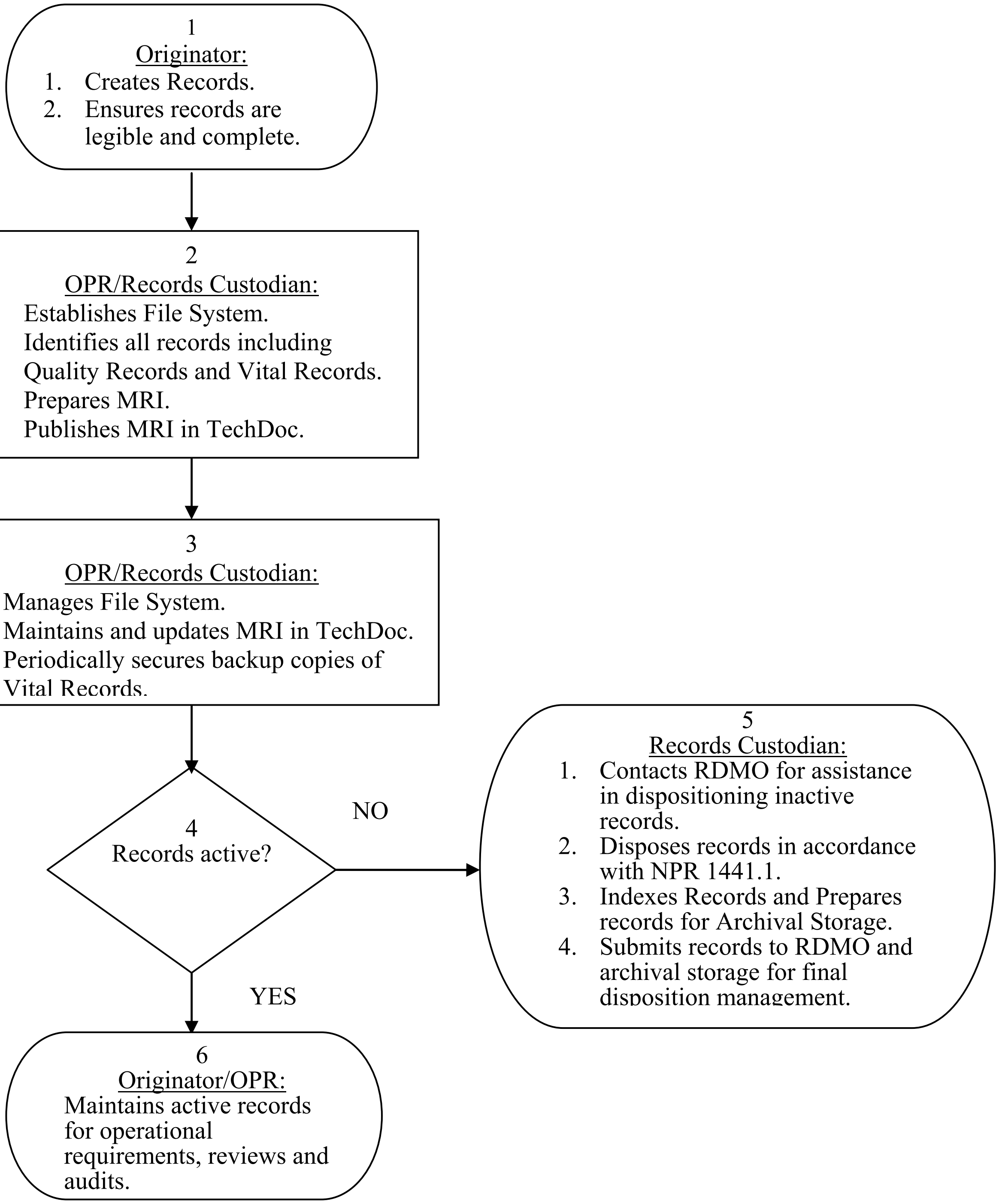
d. The following records shall be identified and collected as Quality Records in accordance with requirements of the ISO 9001 and AS 9100 Standards. These are the minimum Quality Records types identified by the standards and are the minimum records required for maintenance of certification. Quality requirements may also apply to other records. Consult with the SSC Management System Representative (MSR) for additional information about Management System requirements on Quality Records.

- Records from Management Reviews (5.6.1)
- Appropriate records of education, training, skills, and experience (6.2.2)
- Records needed to provide evidence that the realization processes and resulting product/service meet requirements (7.1 d))
- Records of the results of the product requirements review and any necessary actions from the same (7.2.2)
- Records of design and development inputs relating to product requirements (7.3.2)
- Records of results of design and development reviews and any necessary actions from the same (7.3.4)
- Records of results of design and development verification and any necessary actions from the same (7.3.5)
- Records of results of design and development validation and any necessary actions from the same (7.3.6)
- Records of results of design and development changes and any necessary actions from the same (7.3.7)
- Records of the results of supplier evaluations and any necessary actions from the same (7.4.1)
- Records of the validation of processes for production and service provision, as applicable (7.5.2)
- Records of unique product identification where traceability is a requirement (7.5.3)
- Records of any customer property that is lost, damaged, or otherwise found to be unsuitable for use (7.5.4)

- Records of the results of calibration and verification of monitoring and measuring devices (7.6)
- Records of Internal Audits as defined in SCWI-1280-0001 (8.2.2)
- Records of evidence that products/services conform to acceptance criteria, and the person authorizing the release of products/services (8.2.4)
- Records of the nature of nonconformities and any subsequent actions taken, including concessions obtained (8.3)
- Records of corrective actions taken (8.5.2)
- Records of preventive actions taken (8.5.3)

3.6 Records Management Process Flow

The basic records management process is depicted in Figure 3 following.



1
Originator:
1. Creates Records.
2. Ensures records are legible and complete.
2
OPR/Records Custodian:
1. Establishes File System.
2. Identifies all records including Quality Records and Vital Records.
3. Prepares MRI.
4. Publishes MRI in TechDoc.
3
OPR/Records Custodian:
1. Manages File System.
2. Maintains and updates MRI in TechDoc.
3. Periodically secures backup copies of Vital Records.
4
Records active?
NO
YES
5
Records Custodian:
1. Contacts RDMO for assistance in dispositioning inactive records.
2. Disposes records in accordance with NPR 1441.1.
3. Indexes Records and Prepares records for Archival Storage.
4. Submits records to RDMO and archival storage for final disposition management.
6
Originator/OPR:
Maintains active records for operational requirements, reviews and audits.

Figure 3 - Basic Records Management Process Flow Chart

CHAPTER 4 VITAL RECORDS MANAGEMENT PROGRAM REQUIREMENTS

4.1 About Vital Records

a. Vital Records are those records considered essential to the continuity of business in the event of an emergency or disaster. These are records that are needed to meet operational responsibilities under national security emergencies or other disaster conditions or to protect the rights and interests of the Government and those affected by Government activities. Vital Records are essentially “one-of-a-kind” records that are necessary to survival or reconstruction of Center operations or facilities or to enable uninterrupted operation during an emergency.

b. The terminology Vital Records should not be confused with other records management terms such as *official records*, *permanent records*, etc. Vital Records are the portion of all records, regardless of their formal retention requirements that require special protection against incidents and in disaster or emergency situations to ensure their ongoing availability for Continuity of Operations.

c. Vital Records fall into two categories: Emergency Operating Records and Legal and Financial Rights Records. Appendixes of this directive provide additional definitions and guidance for the identification of Vital Records.

(1) Emergency Operating Records are those records vital to carrying out the essential functions of SSC and NASA for the duration of the emergency situation. These records include those covering the mobilization and protection of material and personnel resources, the continuation of essential services, and the preservation of critical scientific research and development and technological systems including the Mission Essential Infrastructure (MEI).

(2) Legal and Financial Rights Records, also known as Rights and Interest Records, are those essential to the preservation of the legal rights and interests of individuals in cases where SSC is the statutory office of record, or where NASA records are the indispensable and exclusive source from which individuals may secure or preserve their rights and interests. These records include such groups as personnel retirement records, payroll records, insurance records, valuable research records and ideas, formal agreements with partners, and potentially patentable materials submitted to NASA by partners and citizens.

d. Regulatory requirements governing Vital Records are provided in 36 CFR 1236, National Archives and Records Administration, Management of Vital Records.

e. The identification, preservation, and protection of Vital Records require special measures in addition to the normal requirements for records management and retention.

f. The identification, preservation and protection of Vital Records is required as part of SSC COOP and Emergency plans.

g. Risk assessments regarding the protection and preservation of Vital Records for all types of emergencies and events are required to determine their ultimate protection and preservation requirements and whether the level of risk warrants the preservation of backup copies of records in alternate safe off-site locations or secure moveable media.

4.2 Vital Records Program Implementation

a. To fully implement a Vital Records Program and determine necessary protection and preservation measures, risk assessments are required for all types of potential incidents and emergency situations.

b. Of necessity, risk assessments and evaluations will be an on-going effort in the identification of records in all locations and the risk hazard potential for the location. Not all records will require preservation and protection in the same manner. Nor will it be feasible in all cases to provide for the immediate removal/movement of records to safe locations when an incident occurs or in an impending situation such as a hurricane. The economical and feasible protection of Vital Records must be based on the level of risk perceived and derived from analysis. In almost all cases the best method of protection will be to provide for continuing duplicate back up of records in alternate locations or media.

c. Many factors must be considered in determining the best practices for protecting records and ensuring their availability in emergency situations and resumption of business afterwards. Discussion of considerations is provided below and in the definition for Vital Records in this directive.

d. Records should be classified as Vital Records only if they fall within the criteria provided for Emergency Operating Records and for Legal and Financial Rights Records and are absolutely essential to continuity or resumption of business. While inconvenient and time consuming, many records can be reconstructed and/or business operations can be resumed without the actual records. Some records will be vital for purposes of performing the most basic and essential functions during an emergency situation, others will be vital for the full resumption of activities.

e. Caution should be exercised in designating records as vital in a Vital Records inventory. Records Management studies suggest that only from 1 to 7 percent of records actually may be Vital Records. Only those records series or electronic information systems (or portions of them) most critical to emergency operations or the preservation of legal or financial rights should be so designated. Difficult and judicious decisions are required.

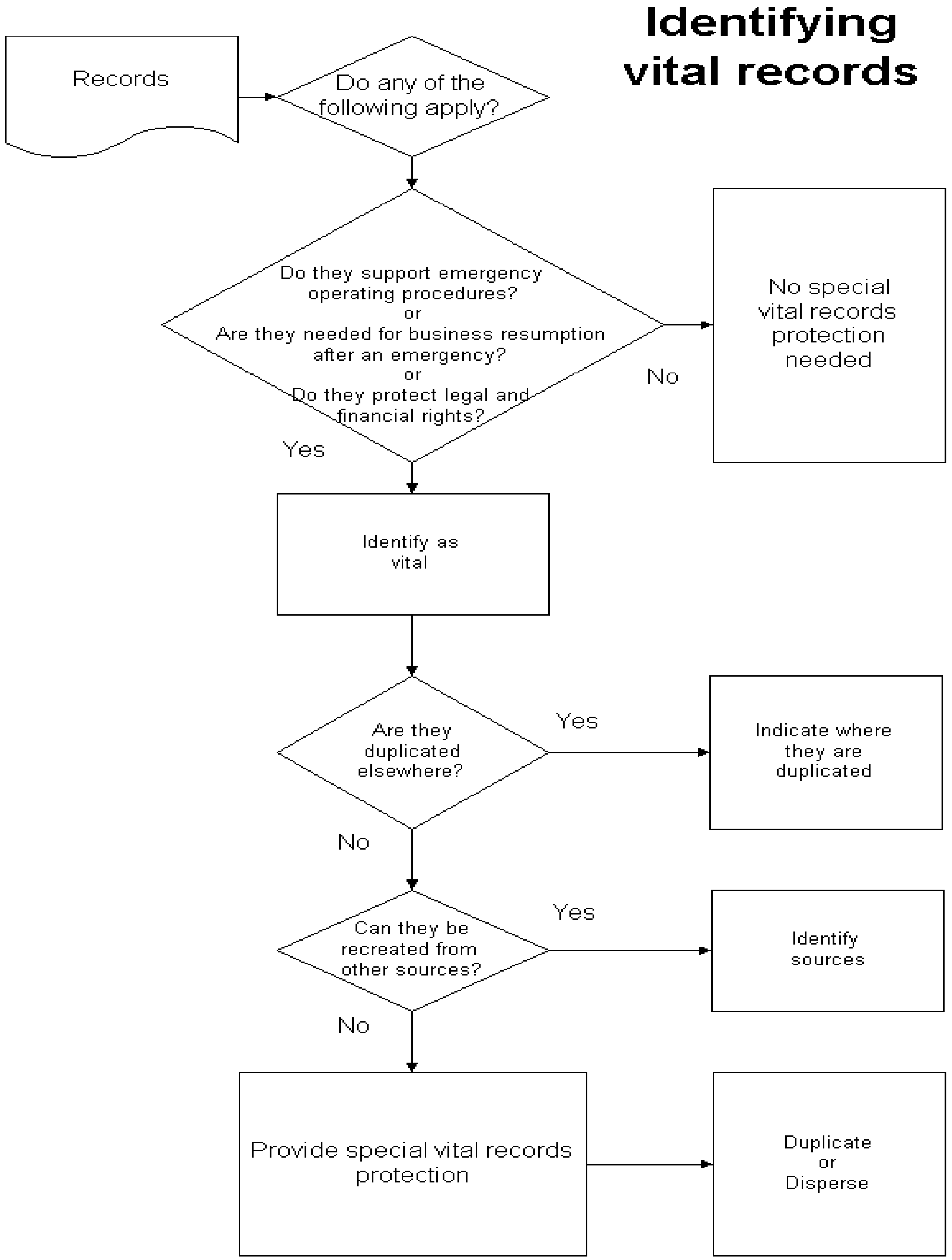
f. For purposes of SSC implementation, major emphasis will be placed first on identifying those records that must be preserved and move immediately with and/or be accessible to the Emergency Relocation Group at alternate operating locations when situations warrant evacuation of the Center. Secondly, preservation and protection of the records not necessarily needed during the emergency but necessary to resumption of activities will be addressed. Thirdly, general risks and protective measures will be assessed.

g. The SSC Vital Records program will be coordinated with, and as a part of, COOP and Emergency management planning activities. Contact the SSC Emergency Director and/or Records Manager for necessary guidance and instruction. Templates for conducting inventories and performance of risk assessments will be provided by the Records and Documentation Management Office.

h. Locations and/or methodologies for backup preservation of records will be determined and developed on a case-by-case basis for each type of record and organization.

i. Appendix G to this directive contains a listing of records currently identified as Vital Records for COOP Plan purposes. The appendix also includes a listing of other types of records that might or should be considered for inclusion as vital. These lists should be reviewed in the conduct of inventory activities. The current list should be updated as needed to reflect any additional records identified for inclusion in the COOP Plan.

j. The process for identifying and protecting Vital Records is depicted in Figure 4 below.



Identifying vital records
Records
Do any of the following apply?
Do they support emergency operating procedures? or Are they needed for business resumption after an emergency? or Do they protect legal and financial rights?
No
No special vital records protection needed
Yes
Identify as vital
Are they duplicated elsewhere?
Yes
Indicate where they are duplicated
No
Can they be recreated from other sources?
Yes
Identify sources
No
Provide special vital records protection
Duplicate or Disperse

Figure 4 - Vital Records Process Flow

4.3 Vital Records Requirements

a. All organizations shall conduct an inventory to identify records vital to their mission essential operations and/or to the resumption of their business in the event of an emergency.

b. Vital Records inventories shall include the following information:

(1) The name of the office responsible for the records series or electronic information system.

(2) The title of each records series or information system containing vital information.

(3) Identification of each series or system that contains emergency operating vital records or vital records relating to rights.

(4) The medium on which the records are recorded.

(5) The physical location for offsite storage of copies of the records series or system, if applicable.

(6) The frequency with which the records are to be cycled (updated).

c. Records identified shall be classified as either Emergency Operations Records or Legal and Financial Rights Records. Classification should be made in accordance with paragraph 4.1, 4.2 and the guidance provided in the Vital Records definitions of this directive.

d. Only those records meeting the criteria for designation as Emergency Operating Records or Legal and Financial Rights Records shall be designated as Vital Records.

e. Inventories shall be submitted to the SSC Records Manager and/or RDMO initially by June 1, 2007 and subsequently by January 31on an annual basis.

f. Organizations shall review and update inventories of Vital Records at a minimum annually by January 31 and at other intervals specified by either the Records Manager or the SSC Emergency Director.

g. Organizations shall protect their Vital Records by storing backup copies in the designated backup locations for the records or as determined from risk analysis.

h. Cycle requirements for backup intervals shall be based on the needs for the currency of information for conduct of operations but, at a minimum, backups shall be conducted quarterly.

i. Completed inventories of Vital Records shall be retained by the Records Manager as official government records in accordance with NRRS, Schedule 1/75C (AFS 1440).

j. Vital Records management for financial records shall be coordinated with and conducted in accordance with requirements prescribed for emergency operations in FMM 9660, NASA Financial Management Manual, Vital Records and Emergency Operations.

APPENDIX A – ACRONYMS

ACI	Administratively Controlled Information
AFS	Agency File Scheme
ANSI	American National Standards Institute
ARMA	American Records Management Association
CFR	Code of Federal Regulations
CIO	Chief Information Officer
COOP	Continuity of Operations Plan
FMM	Financial Management Manual
FOIA	Freedom of Information Act
FPC	Federal Preparedness Circular
FRC	Federal Records Center
GRS	General Records Schedule (NARA)
ISO	International Standards Organization
IT	Information Technology
OCIO	Office of the Chief Information Officer
OMB	Office of Management and Budget
OPR	Office of Primary Responsibility
PASR	Privacy Act System of Records
POC	Point of Contact
MEI	Mission Essential Infrastructure
MRI	Master Records Index
MSR	Management System Representative
NASA	National Aeronautics and Space Administration
NARA	National Archives and Records Administration
NODIS	NASA Online Directives System
NPD	NASA Policy Directive
NPR	NASA Procedural Requirements (directive)
NRRS	NASA Records Retention Schedules (NPR 1441.1)
OMB	Office of Management and Budget
R&D	Research and Development
RDMO or RDO	Records and Documentation Management Office
RFP	Request for Proposal
RM	Records Manager or Records Management
SBU	Sensitive But Unclassified
SCWI	Stennis Common Work Instruction
SOW	Statement of Work
SPD	Stennis Policy Directive
SPLN	Stennis Plan
SPR	Stennis Procedural Requirements (directive)
SSC	John C. Stennis Space Center
SSLP	Stennis System Level Procedure

TechDoc	SSC Technical Documentation System
U.S.C.	United States Statutory Code

APPENDIX B – RECORDS MANAGEMENT TERMINOLOGY AND DEFINITIONS

ADMINISTRATIVELY CONTROLLED INFORMATION (ACI) - Term no longer used but still referenced in some documentation. See *Sensitive But Unclassified (SBU)*.

ACTIVE RECORDS - Records that are referred to on a frequent basis, i.e., daily, or weekly. Records that are maintained in office files for immediate access, use, and reference. Also considered current records, which are necessary for conducting the business of an office or function.

AGENCY FILE SCHEME (AFS) - A list of subject area identification codes contained in NPR 1441.1 intended for use in filing and identifying retentions for NASA-owned records.

ADMINISTRATIVE RECORD - A record that is related to budget, personnel, supply, and similar administrative or facilitative operations common to all organizations. It is distinguished from an operational record that relates to an organization's specific functions.

ARCHIVAL QUALITY - The ability of a recording medium to permanently retain its original characteristics and to resist deterioration for a lengthy, specified time.

BUILT-IN DISPERSAL - A method of protecting vital records whereby the records management system calls for the availability of a copy at another location due to regular distribution of the Vital Record.

CASE FILE - A folder or other file unit containing materials relating to a specific action, transaction, event, person, place, project, or other subject. A case file may cover one or many subjects that relate to the case; for example, a contract file contains records on a specific contract, such as the application, correspondence, addenda, reports, and processing documents. Other types of case files include official personnel folders, surveys, and studies.

CATALOG - A set of entries arranged in a definite order that describes and indexes a collection of records. Each entry has sufficient details to identify and describe each item. Also may contain record location information. The SSC MRI is a type of catalog.

CERTIFICATE OF DESTRUCTION - A formal written assertion that records have in fact been destroyed. SSC obtains a Certificate of Destruction for all formal records destruction activities conducted by SSC.

CHARGE-OUT/CHECK-OUT - A control procedure to establish the current location of a record when not in the records center or central file, which can be a manual or electronic system.

CLASSIFYING - In relation to filing methodologies, the act of analyzing and determining the subject content of a document, and then selecting the subject category under which it will be filed.

CLOSED FILE -

(1) A file where access is denied to users and retrieval is limited to authorized personnel only.
(2) A file on which action has been completed and to which documents are unlikely to be added.

CONVENIENCE FILE - An unofficial file containing copies of documents that is maintained for ease of access and reference, physically located near the point of usage. Usually considered nonrecords.

CONTRACTOR RECORDS/CONTRACTOR-OWNED RECORDS - As opposed to NASA-owned records, Contractor Records are those that solely belong to the contractor and are related to the conduct of the contractor's internal company or corporate policies and business management. Federal Acquisition Regulation Clauses (FAR) clauses may be incorporated into contracts that stipulate that certain records must be kept by the contractor for certain periods of retention for inspection and audit purposes but they are not subject to management under the NASA NRRS as NASA-owned records.

CORRESPONDENCE - Records arranged and filed according to their general informational content. Consists mainly of general correspondence but may also include forms, reports, and other material that relate to programs and functions not to a specific case or a particular person or organization. See *General Correspondence.*

CUBIC FOOT - A measurement of volume of records and archive capacity.

- Typical archive box (15" x 11 7/8" x 9 5/8") equals *1 cubic foot* of records.
- One letter-size file drawer equals *1.5 cubic feet* of records.
- One legal-size file drawer equals *2 cubic feet* of records.
- One letter size lateral file drawer (39 inches) equals *2.5 cubic feet* of records.
- One legal size lateral file drawer (39 inches) equals *3 cubic feet* of records.
- One letter size open shelf cabinet (4 ft.) equals 2.*3 cubic feet* of records.
- One legal size open shelf cabinet (4 ft.) equals *3 cubic feet* of records.

CURRENT RECORD - The most recent record or collection of records that is used on a regular basis. Same as *Active Record.*

CUT-OFF/CUT-OFF DATE - An event or date triggering a change in the status of records, from active to inactive, and the beginning of their retention period. A completion of a contract or closing of a legal case may be an example of a cut-off event. The end of the fiscal and calendar year are examples of cut-off dates. Cut-off dates are critical to archiving purposes. They indicate the beginning of when to calculate the retention period. See also *File Break*.

CYCLE - The periodic removal of obsolete copies of Vital Records and their replacement with copies of current Vital Records. This may occur daily, weekly, quarterly, annually or at other designated intervals.

DECENTRALIZED FILE - As opposed to Centralized filing where all records go to a single filing location, records located and maintained in one or more locations which may or may not be in or near the unit (or person) immediately responsible for the functions in which they are used. For the most part SSC tends to utilize decentralized filing.

DESCRIPTOR

A word or phrase used to indicate the content of a record.

DESTRUCTION NOTICE - A notification (memo, form, list, etc.) of the scheduled destruction of records. May also request approval for the scheduled destruction.

DESTRUCTION SUSPENSION (FREEZE) - A hold placed on the scheduled destruction of records that may be relevant to foreseeable or pending litigation, governmental investigation, audit, or special organizational requirements. When NASA issues a *FREEZE* on destruction of records related to certain litigation, all pending destructions must be reviewed and authorized.

DISASTER/EMERGENCY SITUATIONS - Disaster or emergency means an unexpected occurrence inflicting distress or widespread destruction and having adverse effects on Agency or Center operations. An emergency is a situation or an occurrence of a serious nature, developing suddenly and unexpectedly, and demanding immediate action. This is generally of short duration, for example, an interruption of normal Agency operations for a week or less. It may involve electrical failure or minor flooding caused by broken pipes. A disaster, on the other hand, means an unexpected occurrence inflicting widespread destruction and distress and having long-term adverse effects on agency operations. Disaster and emergency planning must include the protection and preservation of Vital Records and address overall risk factors regarding the protection of all records. See *Vital Records, Emergency Operating Records* and *Legal and Financial Rights Records.*

DISPOSITION - Actions taken with regard to noncurrent or inactive records. The actions include retirement to a records center for temporary storage, transfer to NARA, donation to an eligible depository, reproduction on microfilm, and destruction. Disposition may include two or more of these actions, such as retirement after 1 year to a records center, with retention for 5 years and destroy when 6 years old.

DOCUMENT -

(1) Recorded information regardless of medium or characteristics. The term is frequently used interchangeably with the word *record*.
(2) A single record item (letter, memorandum, form, or report) consisting of one or more pages.

ELECTRONIC FILING - Capturing and storing document images on an electronic system. Through indexing of key words or other identifying elements, the documents can be retrieved electronically. The SSC e-mail system, Technical Documentation System (TechDoc), shared drives, and personal computers are types of electronic filing systems.

ELECTRONIC RECORD - Any information that is recorded by or in a format that only a computer can process and that satisfies the definition of a Federal record in 36 CFR.

EMERGENCY OPERATING RECORDS-

(1) A type of Vital Records whose preservation and protection must be assured in disaster or emergency situations. They are essential to the continued functioning or reconstitution of an organization both during and after an emergency or disaster situation. The preservation and protection of Vital Records must be included in the Continuity of Operations Plan (COOP) and Emergency Management/Preparedness plans for the Center. See *Vital Records*.
(2) Emergency Operating Records include emergency plans and directives, orders of succession, delegations of authority, staffing assignments, selected program records that will be needed to continue the most critical operations, as well as the related policy or procedural records that will assist the staff in conducting operations under emergency conditions and for resuming normal operations after an emergency. Because of the SSC mission, many facilities records may be considered vital.

EVIDENTIAL VALUE - The value of those records of an organization that are necessary to provide legal, authentic, and adequate documentation of its structure, functions, operations, and performance.

FEDERAL RECORDS CENTER - A storage and servicing facility operated by the National Archives and Records Administration (NARA) for Federal records pending disposal or transfer to the National Archives.

FILE -

(1) An accumulation of records maintained in a predetermined physical arrangement.
(2) Storage equipment such as a filing cabinet or electronic system.
(3) To store active records, including Quality Records and Vital Records, in folders, filing cabinets, bookcases, or electronic media in accordance with an established files index or plan of filing system.
(4) A collection of related records filed together usually in reverse chronological order.
(5) The action of arranging documents into a predetermined sequence.
(6) A cabinet or container for housing documents.

FILE BREAK - Termination of compilations of records in a file at regular periodic intervals to facilitate continuous disposal, retirement, or transfer of the file/record series, i.e., monthly, yearly, 5 year blocks. See also *Cut Off*.

FILE CLASSIFICATION SYSTEM - A logical and systematic arrangement for classifying records into subject groups or categories based on some definite scheme of natural relationships representing numbers, letters, or key words for identification.

FILE MAINTENANCE/MANAGEMENT -

(1) The activity of keeping a file up-to-date by adding, changing, or deleting information.
(2) The creating, retrieving, and updating of records within a file, including housekeeping activities on the contents. Might include reviewing the classification system and analyzing the filing equipment to determine the most efficient economical equipment.

FILE PLAN -

(1) A logical order of documents or files.
(2) An arrangement or scheme by which all documents may be stored, retrieved, and re-filed.

FILING INCH - The linear capacity of filing expressed in inches. Generally, 25 filing inches are in a standard letter-size vertical file drawer.

FILING SYSTEM - The systematic indexing and arrangement of records based on procedures, supplies (guides and folders), and housing.

GENERAL CORRESPONDENCE - A file consisting of correspondence accumulated by organizations as a result of their routine operations. Records consist of arrangement of correspondence, memoranda, and messages on a number of different subjects as distinguished from a case file that contains correspondence about specific transactions or projects.

GENERAL RECORDS SCHEDULES (GRS)

A comprehensive listing of records common to several or all Federal agencies, issued by NARA, governing the disposition of specified recurring series of records. These standards are mandatory for Federal Agencies.

> **Instructional Note**: NASA has instructed the use of the GRS for items that might not be identified in the NPR 1441.1, NASA Records Retention Schedules (NRRS). If the GRS does not address the records in question, then potentially a new item for the NPR 1441.1 might need to be developed to address disposition. The retention period for any records in question is to be treated as *Permanent* until a records retention schedule for the records is developed.

HISTORICAL VALUE - Records that are retained permanently for purposes of enduring value and not necessarily for business purposes.

HOLDINGS - The overall volume and type of records stored in an office, organization, records center or other repository.

INACTIVE RECORDS - Records that are no longer required or which are referred to so infrequently in the conduct of current business that they may be removed from the office and either retired to an FRC or destroyed depending on the approved disposition. Also referred to as *Noncurrent Records.*

INDEX/INDEXING -

(1) A systematic guide that allows access to specific items contained within a larger body of information.
(2) The placing or listing of items in an order that follows a particular system.

INVENTORY/RECORDS INVENTORY -

(1) A detailed listing that could include the types, locations, dates, volumes, equipment, classification systems, and usage data of an organization's records. The dissecting of each record to capture all pertinent information about the record to be used in its appraisal.
(2) A systematic listing of all records series in an office or an agency generally including the location of each series, physical characteristics, and description of content.
(3) SSC uses the *Master Records Index (MRI)* for this purpose. The MRI is maintained and reviewed at a minimum on an annual basis and provides a listing of all of an organization's records holdings (both paper and electronic). This MRI is a very useful tool in managing and auditing records and helping the proper disposition of records.

(4) The systematic identification of Vital Records. Inventories of Vital Records identify not only the normal retention requirements and locations of records but also where backup copies of active records are stored and preserved for use in emergency or disaster situations.

KEYWORD - A word or phrase taken from the title or text of a document characterizing its content and facilitating its retrieval.

LABEL - A device by which the contents of a file folder, file drawer, guide, or shelf are identified. A shelf label may be identified as a *range finder* because the full range of records on the shelf is clearly identified. Note: Labels on SSC records and records system must include information on the retention requirements (schedule, specific item number, and retention description) in addition to other classifying or content information.

LATERAL/SIDE ACCESS STORAGE CONTAINER

Storage units in which file access is horizontal (from the side). These include the Carrousel and Shelf File systems.

LEGAL AND FINANCIAL RIGHTS RECORDS

(1) A type of Vital Records whose preservation and protection must be assured in disaster or emergency situations. The preservation and protection of Vital Records must be included in the Continuity of Operations Plan (COOP) and Emergency Management Plan for the Center. See *Vital Records* and *Emergency Operating Records.*.
(2) Legal and Financial Rights Records, also known as Rights and Interests Records, are that type of Vital Records essential to protect the legal and financial rights of the Government and to the individuals directly affected by its activities. Examples include accounts receivable records, social security records, payroll records, retirement records, and insurance records. Contract Records may also be included.

LEGAL VALUE - Value inherent in records that provide legal proof of business transactions. Also, the value of records in demonstrating compliance with legal, statutory, and regulatory requirements.

LIFE CYCLE (RECORD) - The span of time of a record from its creation or receipt, through its useful life to its final disposition or retention as a historical record.

LINEAR FOOT - Measurement of files within a drawer across the top of the files perpendicular to file folders (twelve inches). Usually does not equal a cubic foot; with letter size files, a linear foot equals approximately ¾ cubic foot.

LONG TERM RETENTION - The length of time that records are to be kept. Long-term refers to a period of retention which can be anywhere from 3 months to 10 years to 60 years or more.

> **Instructional Note:** Do not confuse "Long Term" with "Permanent." Long Term actually may be even longer than 60 years but ultimately the records will be destroyed so technically they are still "Temporary" records. Records classified as "Permanent" will never be destroyed and must ultimately be sent to the National Archives in Washington. See definitions for *Temporary* and *Permanent*.

MASTER RECORDS INDEX -

(1) An inventory of records holdings prepared and maintained at a minimum on an annual basis of each SSC organization's records holdings. The MRI identifies the organization or functional unit (OPR), the responsible Records Custodian, the type of records (paper or electronic) the location of each series, physical characteristics, description of content, and retention requirements. See also *Inventory*.
(2) Preparation and maintenance of the MRI is a requirement for SSC organizations including contractors to the extent specified in their contractual documents.

NASA-OWNED/CONTRACTOR-HELD RECORDS - Records resulting from specific transactions for, or on behalf of official NASA/SSC functions or requirements made or received by NASA contractors. These records are necessary to the continuity of NASA/SSC business, and are segregated and managed separately from Contractor-owned records. They are maintained, managed, and dispositioned as NASA records regardless of the performing contractor.

NATIONAL ARCHIVES - The repository for records that the Archivist of the United States has determined to have sufficient historical or other value to warrant their continued preservation by the Federal Government.

NATIONAL ARCHIVES AND RECORDS ADMINISTRATION (NARA) - Federal agency responsible for recordkeeping functions of the United States government.

NONCURRENT RECORDS - Records no longer required to conduct agency business and, therefore, ready for final disposition. See also *Inactive Records*.

NONRECORD MATERIAL - Material such as extra copies of documents and correspondence that are kept only for convenience or reference, stocks of publications and processed documents, personal records, reference items, and library or museum material intended solely for reference or exhibition. Also see *Records*. Reference the guidance *What is A Record* for help in determining and identifying records.

NON-TEXTUAL RECORDS - Electronic, audiovisual, cartographic, remote-sensing imagery, architectural, and engineering records.

OFFICE OF PRIMARY RESPONSIBILITY (OPR)/OFFICE OF RECORD -

(1) An office designated as the official custodian of records for a specified program, activity, or transaction of an organization.
(2) Under functional or decentralized filing plans, the Office of Record or OPR is usually the office which created the record or initiated the action on an incoming record, unless otherwise designated.
(3) Under centralized filing, the central file(s) are designated or become the OPR.

OFFICIAL FILES - An accumulation of official records documenting an action or providing valuable information. The official files include the originals of incoming correspondence and the initialed copies of the outgoing and interoffice correspondence, the original or action copies of reports, completed forms, maps, photographs, and other similar documents.

OFFICIAL RECORD - Significant, vital, or important records of continuing value to be protected, managed, and retained according to established retention schedules. Often, but not necessarily an original.

OFF-SITE STORAGE - A potentially secure location, remote from the primary location, at which inactive or Vital Records are stored. The Federal Records Center (FRC) is an off-site storage facility where records are maintained prior to their disposition or transfer to NARA. Other locations may be chosen for the cycled preservation of active vital records to provide for their availability during and resumption of activities after an emergency or disaster.

ON-SITE STORAGE -

(1) Storage of inactive (usually) records on the premises of the organization. The SSC Archive is an on-site storage facility.
(2) Storage location for vital records that is sufficiently protected to ensure their preservation in the event of a disaster.

OPERATIONAL RECORD - A record documenting those activities of an organization that are directed towards the substantive purpose for which the organization was created. A record that assists an organization in performing its primary function.

ORGANIZATION - A term used generically to describe an SSC Organization, Program/Project, Directorate, Laboratory, Division, Branch, or Team level.

ORIGINATOR - A person within an organization that creates a record or Quality Record. The originator or creator of a record is responsible for ensuring its proper identification and filing within the OPR.

PERIODIC TRANSFER - The removal of records from current files to semi-active and inactive storage locations on a regular basis. See also *Cut Off*.

PERMANENT RECORDS - In U.S. Government usage, records appraised by NARA as having enduring value because they document the organization and functions of the agency that created or received them; and/or, because they contain significant information on persons, things, problems, programs, projects, and conditions with which the agency dealt. These records are valuable or unique in that they document the history of the Agency and generally record primary missions, functions, responsibilities and significant experiences or accomplishments of the Agency. Permanent records are never destroyed.

> **Instructional Note:** The NPR and/or GRS identify those records that are classified as Permanent. For new sets of records not previously classified, a determination (a formal process) must be made as to the required retention and disposition. The classification of permanent cannot just be arbitrarily made. Certain rules must be followed.

PERSONAL PAPERS - Papers relating solely to an individual's personal affairs. They are nonofficial; they must be kept separate from official government records and clearly designated as such. This includes materials used as part of personal professional activities but not related to the person's official functions or performance of government work. Note: papers created in the course of government business used as personal working or reference materials Do Not belong to the individual but are government records. See guidance *What is a Record*.

PHYSICAL INVENTORY - The act of taking a records survey to identify records holdings and document particulars about the records

PRIVACY ACT (1974) - Act passed by U.S. Congress recognizing that the privacy of an individual must be protected through control of the collection, maintenance, use and dissemination of information by Federal agencies.

PRIVACY RECORDS/PRIVACY ACT SYSTEMS OF RECORDS (PASR) -

(1) Records or systems of records that contain personal information about an individual.
(2) Privacy Act Systems of Records are collections that contain information retrieved by the name of the individual or by some identifying number, symbol, or other identifying particular assigned to the individual.
(3) Privacy Act records must be identified and protected in accordance with the Privacy Act of 1978, as amended and NPD 1382.17, NASA Privacy Policy.
(4) Privacy Act Systems of Records are identified by a PASR annotation in the NRRS.

PRIVILEGED RECORD - A document with restricted access. See also *SBU* and *Privacy Records*.

PROJECT FILE - Various records that pertain to a set of activities or pursuits designated as a project by the organization and therefore filed as a records series instead of individually. See also *Case File*.

PURGE - To remove information from a file that has no further value, usually according to a records retention schedule. This process may be done to both active and inactive records.

QUALITY RECORDS -

(1) Quality Records are a subset of records that provide objective evidence of the extent to which the requirements for quality are fulfilled or provide evidence of the effectiveness of quality management system elements.
(2) Quality records are not unique records to NASA records management requirements; but rather, Quality Records is simply the term used to uniquely identify those specific records that are required to be kept also by the ISO 9001 Standard for fulfillment of the requirements of a quality management program. Such records are a part of the NASA records retention schedules and are managed in accordance with the NRRS.

RECORD/RECORDS -

(1) All books, papers, maps, photographs, negatives, machine-readable materials, diskettes, microfilm, audio tapes, or other documentary materials, regardless of physical form or characteristics, made or received by an agency of the U.S. Government under Federal law or in connection with the transaction of public business and preserved, or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the Government or because of the informational value of the data contained therein. Library and museum material made or acquired and preserved solely for reference or exhibition purposes, extra copies of documents preserved only for convenience of reference, and stocks of publications and or processed documents are not included.
(2) Machine-readable materials include, but are not limited to, optical disk, magnetic tape, sound recordings, microforms, and any other such recording medium regardless of how produced.
(3) For clarification, all documentation and papers created or received in the course of conducting government business are records – some may be the formal records required to maintained by the OPR others may be copies of the same records maintained in other places for other requirements. Either it is a record that must be retained and managed for some reason for some period of time or it is not a record. See definition of *Nonrecord*. See the guidance *What Is A Record* for help in determining and identifying records.

RECORD COPY - The official copy of a record that is retained for legal, operational, or historical purposes, sometimes the original.

RECORD SERIES - A group of related records filed/used together as a unit and evaluated as a unit for retention purposes, e.g., a personnel file consisting of an application, reference letters, benefit forms, etc.

RECORDS APPRAISAL - The process of evaluating records based on their current operational, regulatory, legal, fiscal, and historical significance, their informational value, arrangement, and their relationship to other records.

RECORDS COORDINATOR (CUSTODIAN)/SSC RECORDS CUSTODIAN

(1) Individual responsible for coordinating records management activities within a department and acting as liaison between the department and the records manager/administrator.
(2) A person delegated formal and official responsibility for the identification, collection, management and disposition of a SSC organization's records.
(3) The SSC Records Custodian interfaces with sub-custodians and also serves as the organizational point-of-contact (POC) for the management of Vital Records.

RECORDS DESTRUCTION -

(1) The disposal of records of no further value and at the end of their retention period by incineration, maceration, pulping, or shredding.
(2) The definitive obliteration of a record beyond any possible reconstitution.

RECORDS DISPOSITION - The action taken after records have reached the end of their retention period in active use and/or inactive storage where they may be transferred to an archive for further retention or be destroyed.

RECORDS MANAGER (SSC RM) - Stennis Space Center Records Manager/Vital Records Manager is the individual formally appointed by the Center Director and delegated the responsibility to oversee the records management program.

RECORDS RETENTION SCHEDULES -

(1) A legal document governing, on a continuing basis, the mandatory disposition of recurring/non-recurring record series of an organization or agency. Also known as a records schedule, records control schedule, records disposition schedule, retention schedule, or schedules. NASA's schedules are formally called NASA Records Retention Schedules (NRRS) and are found in NPR 1441.1.

(2) A Records Retention Schedule is an official Agency action document listing the records series created by the agency. A schedule indicates whether each series of records is permanent or temporary and includes retention periods.
(3) A comprehensive list of records series titles, indicating for each series the length of time it is to be maintained. May include retention in active office areas, inactive storage areas, and when and if such series may be destroyed or formally transferred to another entity such as an archive for historical preservation.

RECORDS SURVEY - A detailed review that gathers basic information about the quantity, type, function, location, and arrangement of an organization's records and usually completed prior to, but may be part of, a detailed inventory. Used to plan records management activities.

RESTRICTED ACCESS - A limitation on the access to and use of records. Restrictions may be imposed by law, the organization, or donors of the records to a collection. See also *Privileged Record*, *SBU* and *Privacy Records*

RETENTION PERIOD -

(1) The period of time that inactive records must be kept after cutoff or break, prior to their destruction.
(2) The time period records must be kept according to operational, legal, regulatory, and fiscal requirements.

RETIREMENT - The shipment of semi-current and noncurrent records to a records center or some other authorized depository (e.g. the local "SSC records archive") for storage until the expiration of their retention period.

RETRIEVAL - The process of locating and withdrawing a record from a filing system or records storage facility.

RIGHTS AND INTERESTS RECORDS - A type of Vital Records. See *Legal and Financial Rights Records* and *Vital Records*.

SECURITY CLASSIFICATION - A classification placed on records limiting their accessibility to those having specific authority to retrieve or use them. NASA records should be handled in accordance with instructions provided in NPR 1620.1. See also *Restricted Access* and *SBU.*

SENSITIVE BUT UNCLASSIFIED (SBU) - Certain official information and material that is not national security information (and, therefore, cannot be classified), but nonetheless should be protected against disclosure (e.g., proprietary, export-controlled, internal predecisional, investigatory, sensitive travel).

SERIES - File units or documents arranged in accordance with a filing system or maintained as a unit because they relate to a particular subject or function, result from the same activity, have a particular form, or because of some other relationship arising out of their creation, receipt, or use. See also *Record Series*.

SUBHEADING - In filing, a secondary heading used as the division of a subject to delineate a particular group under the major heading.

SUBJECT FILING - A plan for the classification and coding of records by subject.

TEMPORARY RECORDS - Records approved by NARA or by an authorized agency records schedule for disposal, either immediately or after a specified period of time. Also called disposable records or nonpermanent records. Note: Though some records may have extremely long retentions, they are still temporary and will ultimately be destroyed as opposed to Permanent Records which will never be destroyed.

TRANSFER - The movement of records out of filing cabinets and office space into the legal custody of NARA (or a Federal Records Center - FRC) or other authorized depository (e.g., local SSC Records Archive).

TRANSITORY RECORDS -

(1) A general term for those types of records that lose their value within a short period of time (approximately 3 months) and that should be separated during filing from records requiring longer retention or until the purpose for which it was created has been accomplished and the record can be destroyed.
(2) Routine correspondence, documents, or records with short-term value. The retention period is limited to the interval required for completion of the action covered by the communication.

TRANSMITTAL LIST - A document that lists the records being transferred from one area to another such as from active (office) storage to inactive (archival) storage. The document may also transfer legal responsibility for the records as well as physical. SSC uses SSC Form 765 for transmittal of records.

UNIFORM FILE CLASSIFICATION - Classification system used to establish common titles and preserve a set order of records. The NASA Agency File Scheme (AFS) is a uniform file classification system.

UNSCHEDULED RECORDS -

(1) A record in which final disposition is not yet approved by the National Archives and Records Administration (NARA); i.e., the records have not been identified and scheduled in the General Records Schedules (GRS) or the NASA Records Retention Schedules (NRRS). Unscheduled

records are **treated and maintained as permanent records until NARA approves a new schedule**. Unscheduled records are identifiable in the NRRS by the notation “Contact Center Records Manager.
(2) Unscheduled records are exempt from disclosure by statute. If determined by a designated NASA official to be especially sensitive, unscheduled records shall be afforded physical protection sufficient to safeguard them from unauthorized disclosure.

VITAL RECORDS -

(1) Records essential for maintaining the continuity of Federal Government activities during a national emergency. These records consist of two categories: (1) emergency operating records, which outline the essential functions of the Government for the duration of emergency conditions, and (2) rights and interests records, which are required for the preservation of the rights and interests of individual citizens and the Government. (See NPD 1440.6, NASA Records Management.)
(2) Vital Records are the essential Agency or Center records that are needed to meet critical operational responsibilities under national security emergencies or other emergency or disaster conditions (Emergency Operating Records) or to protect the legal and financial rights of the Government or those affected by Government Activities (Legal and Financial Rights Records).
(3) Vital Records must be identified and copies preserved in secure locations to ensure continuity and/or resumption of operations in the event of a disaster or other emergency.

WORKING PAPERS - Documents such as rough notes, calculations, or drafts, assembled or created and used in the preparation or analysis of other documents. See also other definitions and explanations under *Nonrecord Material* and *Record*. Reference *What Is A Record* for guidance in identifying and classifying records.

APPENDIX C – MASTER RECORDS INDEX PREPARATION AND MAINTENANCE GUIDANCE

C.1 How to Prepare and Maintain/Update Master Records Index (MRI)

a. The master template for preparation of MRIs is maintained by the SSC Records and Documentation Office (RDMO). Contact the RDMO for the current template when preparing a new MRI. A sample template including instruction is provided in Table 1.C.

b MRIs must contain a complete listing of ALL NASA records created, received, or maintained by the responsible organization. This includes hard copy records as well as electronic records maintained in electronic systems or applications. Records should be marked as Vital if they are considered as such. See separate instruction regarding the identification of vital records. MRI listings should only contain the active records of that specific organization.

c. MRIs should be updated as changes occur or at a minimum on an annual basis by December 31.

d Completed Organizational MRIs are published in the SSC TechDoc System as *MS Word®* documents.

e. MRIs are numbered SMRI-1440-xxxx based on your department organizational number or code and are listed by organization. For some organizations there will be a lower case letter as part of the number to indicate a sub-organizational unit.

f. To publish, maintain and update your MRI, you or someone in your area must have a TechDoc Account to enter/replace your updated MRI in TechDoc. You must have TechDoc training to enter documents in TechDoc.

g. You do not have to have an account to view or obtain a copy of the document to update it. Use the following steps to retrieve a copy of your MRI.

1. Go to SSC Intranet Home Page, Reference Library; Policies & Procedures. Click**:** **NASA/SSC Technical Documentation System (Search for a Document)**. The search engine will appear.
2. Click on: **SSCTDSTENNIS - All SSC TechDoc Systems for NASA and Contractors.** The search and query page will appear.
3. By the “Text” field, use the pull down menu and select “Document Type” for your query. Document Type will appear in the field. Note that it has an * beside it. That indicates that a selection is necessary for your query.
4. Click on the Magnifying Glass next to the “Search Text” box. A pop up menu will appear. Select MRI - Master Records Index from the list. It should fill in the box.
5. Click the “Search” button at the bottom of the screen. A complete list of all the SSC organizational MRIs will appear.

6. Scroll through the list to find your specific organization. At this point you can choose either to simply view your document or proceed to get other information and obtain a copy of your document.
7. To quickly look at your MRI, click on the document "Revision" number or letter. A pdf version of your MRI will appear. You can only view this document; you cannot save it or make changes.
8. To get other information and a copy of your MRI, click on the "Document Number." An information page about your document will appear. Click on the "Document Number" again. Another information page will appear at the bottom of which will appear information about the "Generation," Revision," "Creation Date," and "Document Files." You will see: "doc" and "pdf."
9. Select "doc" for the most recent entry. The *Word*® version of your document will appear. You cannot make changes to the document here. You must save it to your computer using "Save As." Save the document to your PC with some name useful to you and make your changes/updates as needed.

h. Prepare/Update your MRI identifying each record series of your organization and providing the information required for each. Check each information field carefully for correctness (organization, office code, custodian name, phone, records description, NRRS schedule and retention, etc.). Double check retention periods assigned and the schedule used to ensure information is accurate. If you cannot find a retention for a particular record set in the NRRS, mark the record as "Unscheduled" and notify the Records Manager so that a retention can be determined. If your organization has moved you must update the location where your records are kept. As appropriate add any records sets you have added to your file system. Note: You must update the "Date Prepared or Updated" field on the MRI template each time you revise or revalidate your MRI and resubmit it to TechDoc. If reorganization has occurred, new MRIs must be prepared reflecting the correct information.

i. Reserve and replace the old document in TechDoc with your revised document and revision letter per TechDoc instructions; OR submit your document to your area TechDoc person for entry for you. Ensure that TechDoc Keywords are updated to reflect the next or correct annual review date when the document is uploaded to TechDoc.

C.2 Sample MRI Template

Table 1.C - Sample Master Records Index

MASTER RECORDS INDEX				
Office of Primary Responsibility (Office of Record): Org Name/Directorate/Dept/Unit *(Enter Name of Org. [NASA or Contractor] / Directorate / Department / Unit etc. to identify the organization generating, maintaining or holding NASA/SSC records.)*	**Office Code** *(Enter organizational or unit/crew code owning and managing the records: e.g., RA40, 7200, etc.)*	**Records Liaison/Custodian** *(Enter the name and phone number of the officially designated Records Custodian for the records)*	**Ext.**	**Date of Preparation or Update** **x/x/xxxx (***Enter date of preparation or update of the MRI. This date must be updated each time the MRI is reviewed or changed. The date must be updated upon annual review regardless of whether any changes are made.)*

INSTRUCTIONS: Enter information in white areas; do not change information in gray areas. List all records created, maintained, and controlled within the organization both hard copy and electronic. See definitions of Electronic and Vital Records. Include Agency Files Scheme (AFS) number, Title or Description of Record Series, Location, Contact (if not custodian) Disposition (Minimum Records Retention), and Authority (Schedule) per NPR 1441.1 or other regulatory authority. If Quality Record, cite the document requiring the record. Update as changes occur and/or annually by December 31st. Call the SSC Records and Documentation Management Office x8-3671 with questions or for assistance.

AFS No. *(from NPR 1441.1)*	**Description of Records Series** *(Primary title from NPR 1441.1 plus short description sufficient to fully define and identify the particular records and to ensure correct association of disposition reqts.)*	**Vital Record?** *(Yes if Vital- See definitions)*	**Records Location** *(Bldg & Room or Name of Electronic System)*	**Contact** *(POC [sub-custodian] responsible for records if other than the officially designated custodian named above)*	**Disposition** *(Minimum retention from NPR 1441.1 schedule or other authority or regulation: e.g., NARA GRS, CFR, State)*	**NPR 1441.1 Schedule or other Citation** *(e.g., Sch.. 1, Item 78.H.1 or GRS 23-10(a))*	**Quality Record Ref. Doc. Reqt.** *(Cite the SSC Documents or Instructions requiring the record be kept.)*

DEFINITIONS:

Electronic Records:

Records encompass paper, film/video, and electronic documents and data and include the email and documentation housed on personal computers and Information Technology (IT) applications/systems. The same policies and procedures and retention requirements that apply to paper records shall be also applied to electronic records.

Any information that is recorded by or in a format that only a computer can process and that satisfies the definition of a Federal record in 36 CFR.

Vital Records:

Vital Records: Mean essential Agency or Center records that are needed to meet critical operational responsibilities under national security emergencies or other emergency or disaster conditions (Emergency Operating Records) or to protect the legal and financial rights of the Government or those affected by Government Activities (Legal and Financial Rights Records).

Vital Records must be identified and copies preserved in secure locations to ensure continuity and/or resumption of operations in the event of a disaster or other emergency.

Disaster or emergency means an unexpected occurrence inflicting distress or widespread destruction and having adverse effects on Agency or Center operations.

Emergency Operating Records: Are that type of vital records essential to the continued functioning or reconstitution of an organization during and after an emergency. Included are emergency plans and directives, orders of succession, delegations of authority, staffing assignments, selected program records needed to continue the most critical operations, as well as related policy or procedural records that assist the staff in conducting operations under emergency conditions and for resuming normal operations after an emergency. Because of the SSC mission, many facilities records may be considered Vital.

Legal and Financial Rights Records (also known as Rights and Interests Records): Are that type of vital records essential to protect the legal and financial rights of the Government and to the individuals directly affected by its activities. Examples include accounts receivable records, social security records, payroll records, retirement records, and insurance records. Contract Records may also be included.

Note: Records should be classified as Vital Records only if they fall within the criteria described above and are absolutely essential to continuity or resumption of business. While inconvenient and time consuming, many records can be reconstructed and/or business operations can be resumed without them. Some records will be vital for purposes of performing the most basic and essential functions during an emergency situation, others will be vital for the full resumption of activities. Caution should be exercised in designating records as vital in a vital records inventory. Records Management studies suggest that only from 1 to 7 percent of records actually may be vital records. Only those records series or electronic information systems (or portions of them) most critical to emergency operations or the preservation of legal or financial rights should be so designated. Difficult and judicious decisions are required.

APPENDIX D – RECORDS ARCHIVAL INSTRUCTIONS

SSC-765, Records Transmittal and Receipt, Instructional Guide

Purpose:

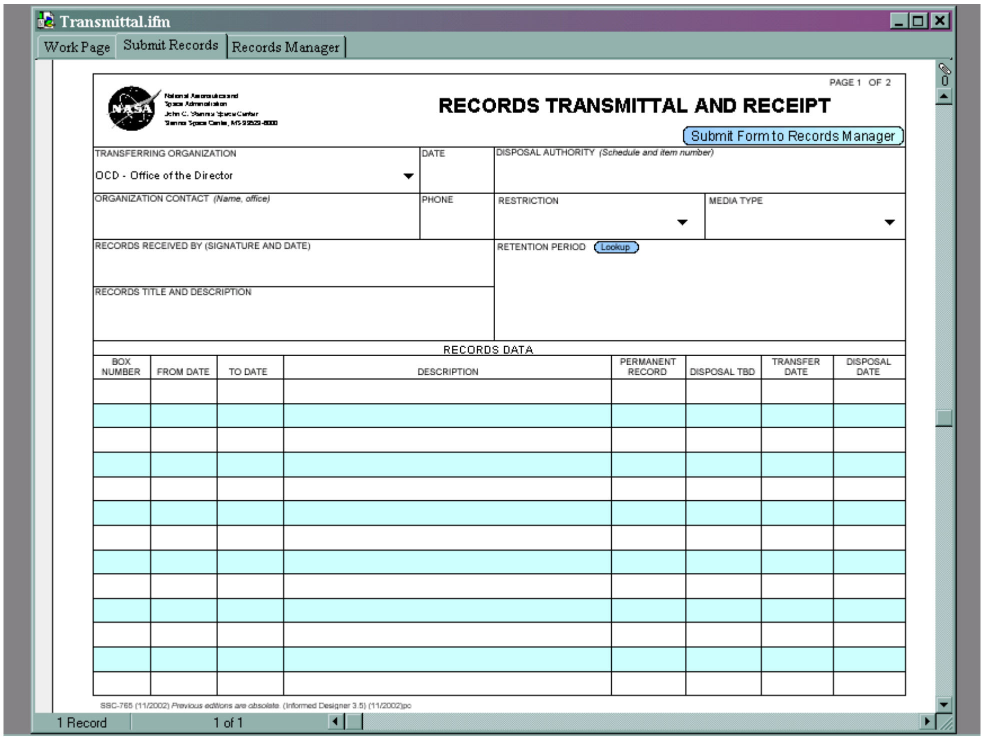
This guide provides step-by-step instructions to SSC personnel in filling out and submitting the automated SSC-765 form to the Records Documentation and Management Office (RDMO) for archival or records.

Steps in transferring records to the SSC/NASA archive:

1. Box and prepare records for archival. Completely fill the proper records storage box, which is available by MR from the SSC warehouse (stock # 8115-00-117-8249). All records in the box must be of the **same** type (i.e., all records in a box **must** have the same retention).

2. Once you are ready to transfer the records to the official NASA archive, fill out SSC-765, which is available on the **Electronic Forms Page** and can be accessed through the internal home page or the following URL: http://sscportal.ssc.nasa.gov/forms/forms/Welcome.html.

3. Select **SSC-765** and fill in all required information. The information you provide on the form should directly correlate to the information you maintain on your organization Master Records Index (MRI).



Transmittal.ifm
Work Page
Submit Records
Records Manager
Submit Form to Records Manager
Lookup
1 Record
1 of 1

National Aeronautics and Space Administration
John C. Stennis Space Center
Stennis Space Center, MS 39529-6000

PAGE 1 OF 2

RECORDS TRANSMITTAL AND RECEIPT

TRANSFERRING ORGANIZATION: OCD - Office of the Director

DATE:

DISPOSAL AUTHORITY *(Schedule and item number)*:

ORGANIZATION CONTACT *(Name, office)*:

PHONE:

RESTRICTION:

MEDIA TYPE:

RECORDS RECEIVED BY (SIGNATURE AND DATE):

RETENTION PERIOD:

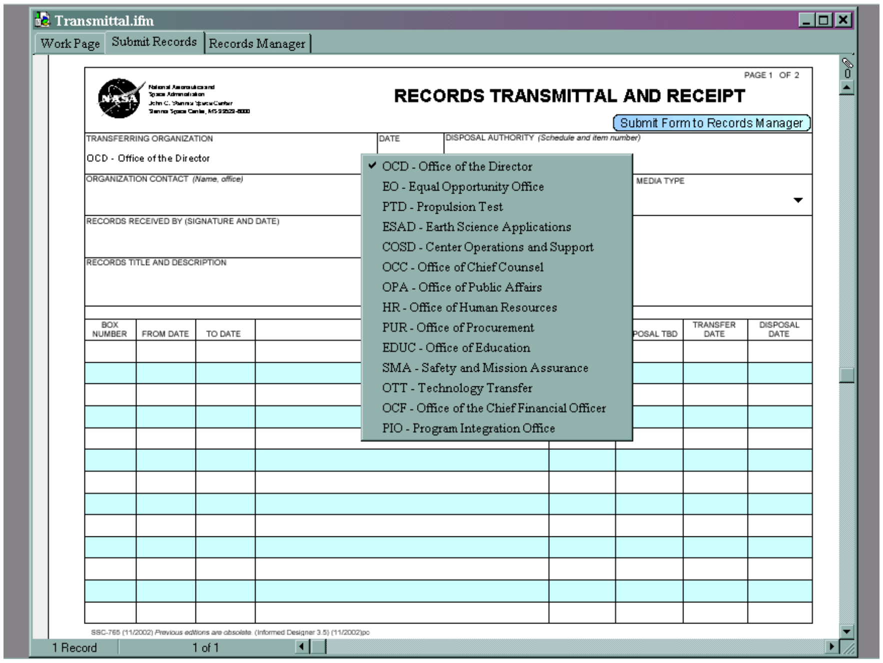
RECORDS TITLE AND DESCRIPTION:

RECORDS DATA

BOX NUMBER	FROM DATE	TO DATE	DESCRIPTION	PERMANENT RECORD	DISPOSAL TBD	TRANSFER DATE	DISPOSAL DATE

SSC-765 (11/2002) *Previous editions are obsolete.* (Informed Designer 3.5) (11/2002)pc

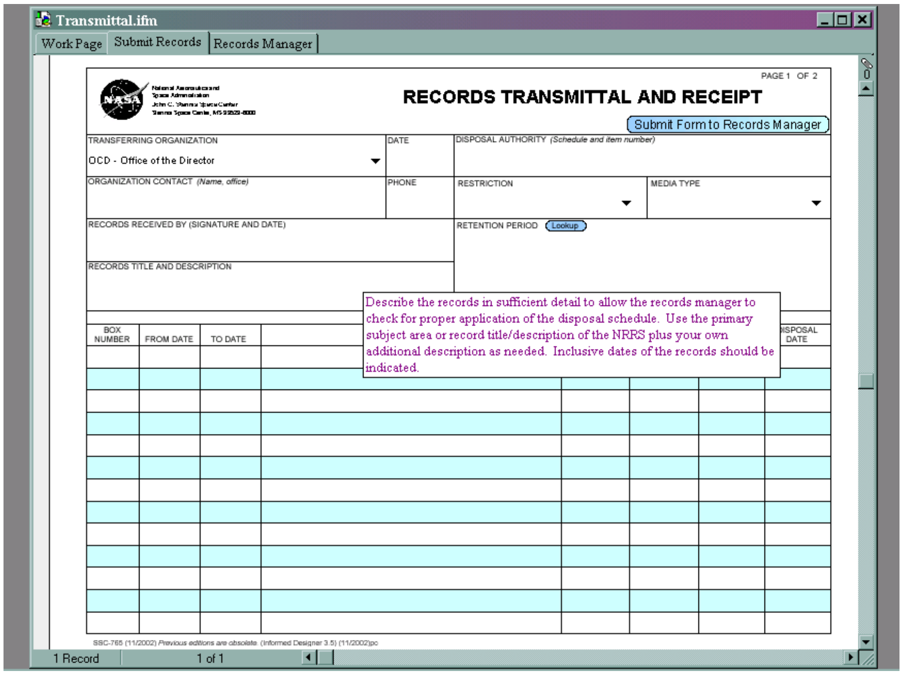
4. Pull-down menus are provided for your convenience.



Transmittal.ifm
Work Page
Submit Records
Records Manager
PAGE 1 OF 2
RECORDS TRANSMITTAL AND RECEIPT
Submit Form to Records Manager
DATE
DISPOSAL AUTHORITY (Schedule and item number)
ORGANIZATION CONTACT (Name, office)
MEDIA TYPE
RECORDS RECEIVED BY (SIGNATURE AND DATE)
RECORDS TITLE AND DESCRIPTION
BOX NUMBER
FROM DATE
TO DATE
POSAL TBD
TRANSFER DATE
DISPOSAL DATE
✓ OCD - Office of the Director
EO - Equal Opportunity Office
PTD - Propulsion Test
ESAD - Earth Science Applications
COSD - Center Operations and Support
OCC - Office of Chief Counsel
OPA - Office of Public Affairs
HR - Office of Human Resources
PUR - Office of Procurement
EDUC - Office of Education
SMA - Safety and Mission Assurance
OTT - Technology Transfer
OCF - Office of the Chief Financial Officer
PIO - Program Integration Office
1 Record
1 of 1

TRANSFERRING ORGANIZATION: OCD - Office of the Director

5. Directions and explanations of each blank are integrated into the form and can be accessed by hovering the pointer in a particular cell.



RECORDS TRANSMITTAL AND RECEIPT

TRANSFERRING ORGANIZATION: OCD - Office of the Director

DATE

DISPOSAL AUTHORITY *(Schedule and item number)*

ORGANIZATION CONTACT *(Name, office)*

PHONE

RESTRICTION

MEDIA TYPE

RECORDS RECEIVED BY (SIGNATURE AND DATE)

RETENTION PERIOD

RECORDS TITLE AND DESCRIPTION

Describe the records in sufficient detail to allow the records manager to check for proper application of the disposal schedule. Use the primary subject area or record title/description of the NRRS plus your own additional description as needed. Inclusive dates of the records should be indicated.

BOX NUMBER	FROM DATE	TO DATE					ISPOSAL DATE

SSC-765 (11/2002) *Previous editions are obsolete* (Informed Designer 3.5) (11/2002)pc

6. All information must be provided before the form can be submitted. You do not fill in the **Records Received By** field; this is an electronic signature for the RDMO.

7. The **Transferring Organization** is the name of the organization submitting the records, and the **Date** field indicates the date of the transaction.

8. **Organization Contact** and **Phone** are the contact information for the person submitting the records or the responsible organization contact (Records Custodian).

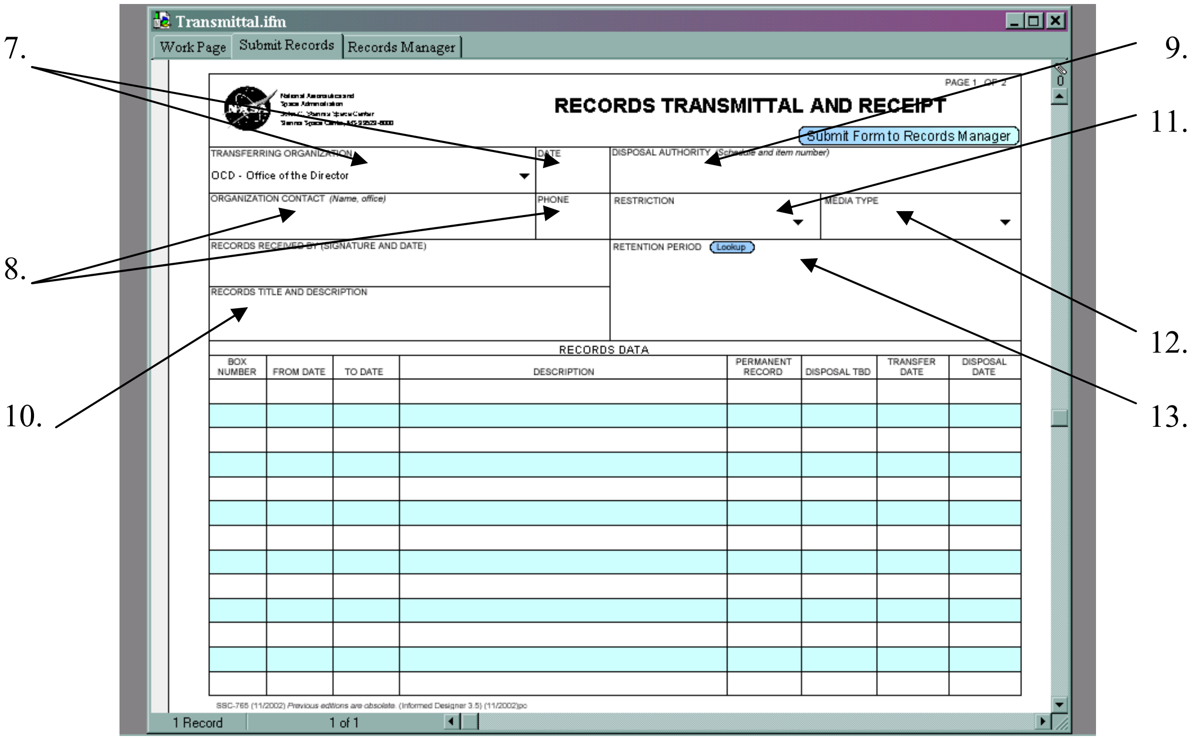
9. **Disposal Authority** (e.g., NPR 1441.1, General Records Schedule [GRS], or a Federal or State requirement) specifies the Authority schedule and item numbers that allow and define the retention/disposition for the records (e.g., NPR 1441.1, Sch. 2, Item 19/A).

10. The **Records Title and Description** are shown in retention/disposal authority. The AFS Number should be included in this field (e.g., 2500, Communications Records).

11. The **Restriction** as appropriate should be selected from the pull down menu. This field is critical for determining access to or release of records and their ultimate disposition. Note: All records are subject to requirements for Information security. Requirements for protecting and marking information are provided in Chapter 5 of NPR 1600.1.

12. Every record is of some media type. Select the correct category for the contents in the box(es) from the **Media Type** pull down menu, or type in a type if not listed.

13. For the **Retention Period** cell, a **Lookup** button is available to check/search for the correct retention if unknown. This button will link you directly to the current, electronic version of NPR 1441.1. Other **Disposal Authority**/retention schedules may be used as applicable.



PAGE 1 OF 2

RECORDS TRANSMITTAL AND RECEIPT

TRANSFERRING ORGANIZATION: OCD - Office of the Director
DATE:
DISPOSAL AUTHORITY *(Schedule and item number)*:
ORGANIZATION CONTACT *(Name, office)*:
PHONE:
RESTRICTION:
MEDIA TYPE:
RECORDS RECEIVED BY (SIGNATURE AND DATE):
RETENTION PERIOD:
RECORDS TITLE AND DESCRIPTION:

RECORDS DATA

BOX NUMBER	FROM DATE	TO DATE	DESCRIPTION	PERMANENT RECORD	DISPOSAL TBD	TRANSFER DATE	DISPOSAL DATE

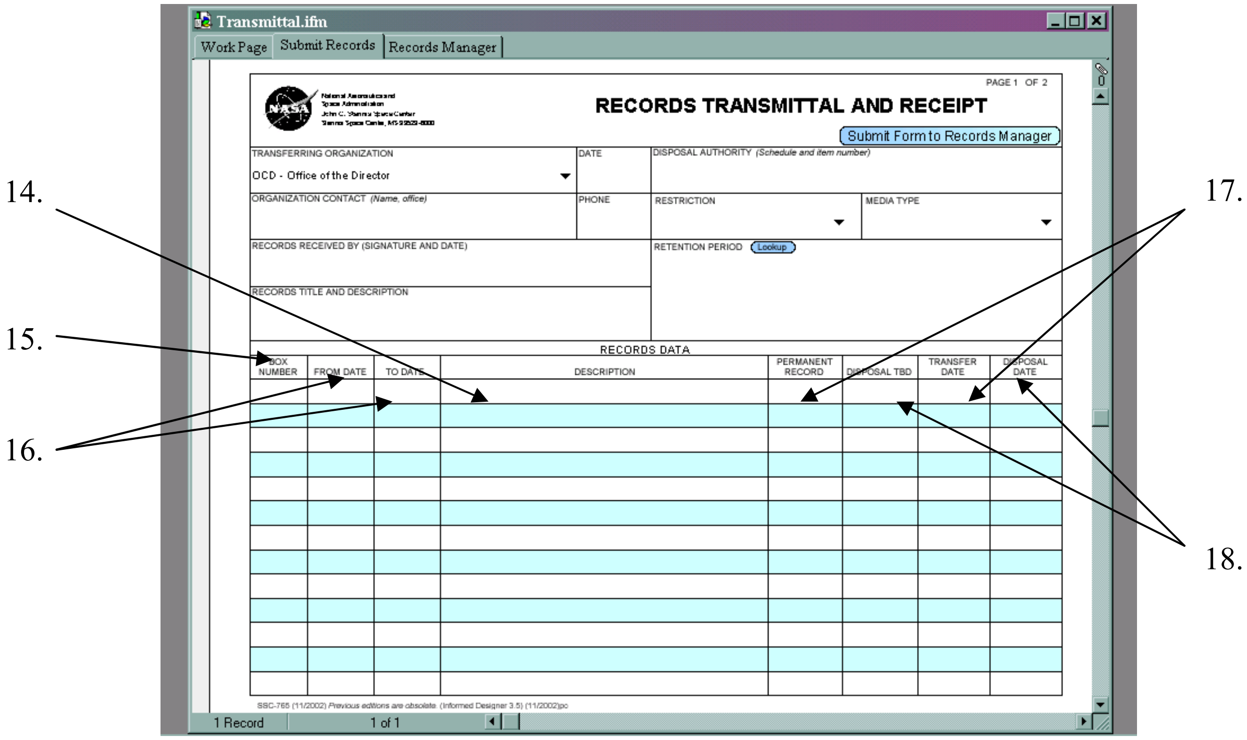
14. The **Description** field should include a detailed description of the box contents. Be sure to insert all needed keywords that relate to the records in that particular box because this information is used to identify the box's contents and is important to later retrieval of records if necessary.

15. The **Box Number** field is for your record keeping purposes and is associated with a new number, called the **Accession Number**. The system automatically assigns the Accession Number to the group of records, which is the archive locator number. The accession number is created according to year and sequential archive (e.g., SSC-2003-0001 is the first accession in the year 2003).

16. **From Date** and the **To Date** is the period of time covered by the records. The latter field is important in ultimately determining the appropriate disposition/destruction date.

17. A box of records is Permanent or Temporary. If permanent, check **Permanent Record** and insert **Transfer Date** where applicable. The Transfer Date is the date that the records and their maintenance responsibility should be transferred to NARA. Note: The NASA Records Retention Schedule (NRRS – NPR 1441.1) indicates those records determined to be permanent.

18. If temporary and you can determine the actual **Disposal Date** from the schedule, fill in the appropriate date. If you are unsure or the NRRS provides no information, select **Disposal TBD**.



PAGE 1 OF 2

RECORDS TRANSMITTAL AND RECEIPT

TRANSFERRING ORGANIZATION: OCD - Office of the Director
DATE
DISPOSAL AUTHORITY *(Schedule and item number)*
ORGANIZATION CONTACT *(Name, office)*
PHONE
RESTRICTION
MEDIA TYPE
RECORDS RECEIVED BY (SIGNATURE AND DATE)
RETENTION PERIOD
RECORDS TITLE AND DESCRIPTION

RECORDS DATA

BOX NUMBER	FROM DATE	TO DATE	DESCRIPTION	PERMANENT RECORD	DISPOSAL TBD	TRANSFER DATE	DISPOSAL DATE

SSC-765 (11/2002) *Previous editions are obsolete.* (Informed Designer 3.5) (11/2002)pc

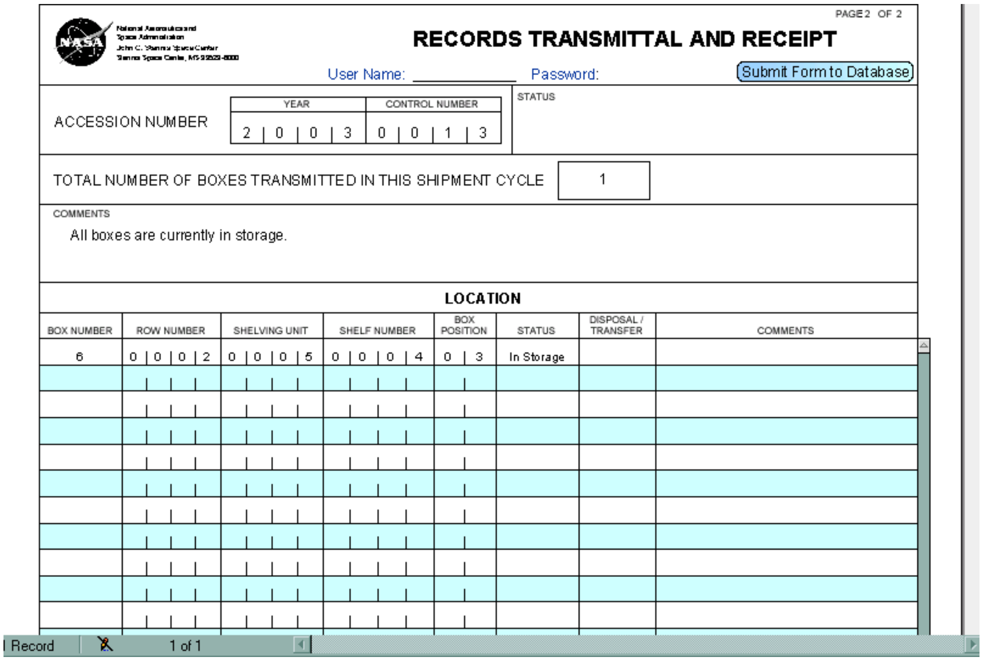
19. Once the form is completely and properly filled out, click the **Submit Form to Records Manager** button. Note: The Informed® application will not submit the form unless **all** required fields are populated.

20. The form is then received by the RDMO, where the information on the form is reviewed for accuracy. Information may be corrected if changes are determined necessary. The form is then uploaded into the NASA Records Database. The storage location is automatically provided for each box.

21. The RDMO will return a copy of the final accepted Records Transmittal form with the Accession Number and archival locations to you. Make two copies of the form. Place

one copy of the completed transmittal form on top of the records inside the box. A team member of the RDMO will then arrange a time to pick up your boxes for storage. Do not tape boxes, simply fold the flaps.

22. Records Custodians should retain the second copy of the returned form for their records. The information will be useful if retrieval of records is later necessary. Note: Another page to the form will be included when returned to you. It will resemble the below form with your appropriate information. You will need to copy and keep both parts of the returned form.



RECORDS TRANSMITTAL AND RECEIPT

User Name: ____________ Password:

ACCESSION NUMBER — YEAR: 2 0 0 3 — CONTROL NUMBER: 0 0 1 3

STATUS

TOTAL NUMBER OF BOXES TRANSMITTED IN THIS SHIPMENT CYCLE: 1

COMMENTS
All boxes are currently in storage.

LOCATION

BOX NUMBER	ROW NUMBER	SHELVING UNIT	SHELF NUMBER	BOX POSITION	STATUS	DISPOSAL / TRANSFER	COMMENTS
6	0 0 0 2	0 0 0 5	0 0 0 4	0 3	In Storage		

HELPFUL HINTS TO INFORMED® FORMS:

MEMORIZE:

Many forms contain information that is specific to the person filling out the form. For example, your name will always be the same on each submittal. Instead of typing it each time, you can type an entry once, and use the MEMORIZE command to "memorize" that value on your desktop. The next time you fill out the form, the "memorized" value is automatically filled in.

To memorize a value:

- Select the value in the cell. Choose **Cell > Memorize**. The value you are memorizing appears as part of the memorize command in the Cell Menu. For example, if you fill in the value "Lynn Gweenie" in the 'Name' cell of your form, the memorize command displays as **Memorize “Lynn Gweenie”** when the cell is selected. After choosing the memorize command, the name “Lynn Gweenie” will be automatically filled in each time you fill out that form.

To cancel the effect of memorization:

- Enter a blank value in a cell, and then choose **Cell > Memorize**.

SPELL CHECK:

Informed® includes a spell-checking feature. The spell checker will detect misspelled words, double words, and other questionable occurrences.

To check the spelling on the form:

- Choose **Edit > Spelling > Check**… There are three ‘Check” commands that you can choose:
  1. **Check Current Record** – checks the currently active form record.
  2. **Check Collected Records** – checks all records in the current collection. However, you will not be using this feature with form SSC-765.
  3. **Check Selection** – checks the spelling in a selected cell on the form.

HELP NOTES:

You can access the ‘help’ command by placing your curser over each cell.

You can also choose **View > Show Help**.

ANNOTATION:

In addition to the information that you enter in each cell on a form, you can also include annotated notes or comments using Informed’s® annotation features. An annotated note is usually a comment of some sort that’s intended to bring something important to the reader’s attention. Informed® uses the ‘yellow sticky’ analogy to show annotated notes. You can place and position notes on any form. The familiar appearance of a note is intended to make clear the distinction between a note and the information on the form itself. Notes only appear on the screen. They do not print out with the form.

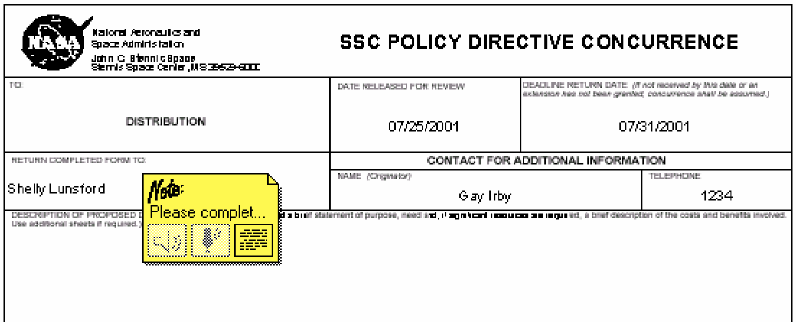
PLACING, MOVING, and REMOVING NOTES:

Informed® Filler allows you to place and position as many notes as you like.

To **PLACE** a new note:

- Choose **Edit >Place Note** to display a blank note that is centered in the form window.
- Click the note’s Text control. The Note dialog box appears.

- Type a note in the blank window.
- Click and drag with the mouse to **MOVE** note next to the information to which it specifically applies



National Aeronautics and Space Administration
John C. Stennis Space
Stennis Space Center, MS 39529-6000

SSC POLICY DIRECTIVE CONCURRENCE

TO: DISTRIBUTION	DATE RELEASED FOR REVIEW 07/25/2001	DEADLINE RETURN DATE *(If not received by this date or an extension has not been granted, concurrence shall be assumed.)* 07/31/2001
RETURN COMPLETED FORM TO: Shelly Lunsford	NAME *(Originator)* Gay Irby	TELEPHONE 1234

DESCRIPTION OF PROPOSED D … d a brief statement of purpose, need and, if significant resources are required, a brief description of the costs and benefits involved. Use additional sheets if required.)

Note:
Please complet...

To **REMOVE** an existing note:

- Click on the note. The note color will turn blue to indicate that it is selected.
- Choose **Edit >Clear** or press the Delete (or Backspace) key.

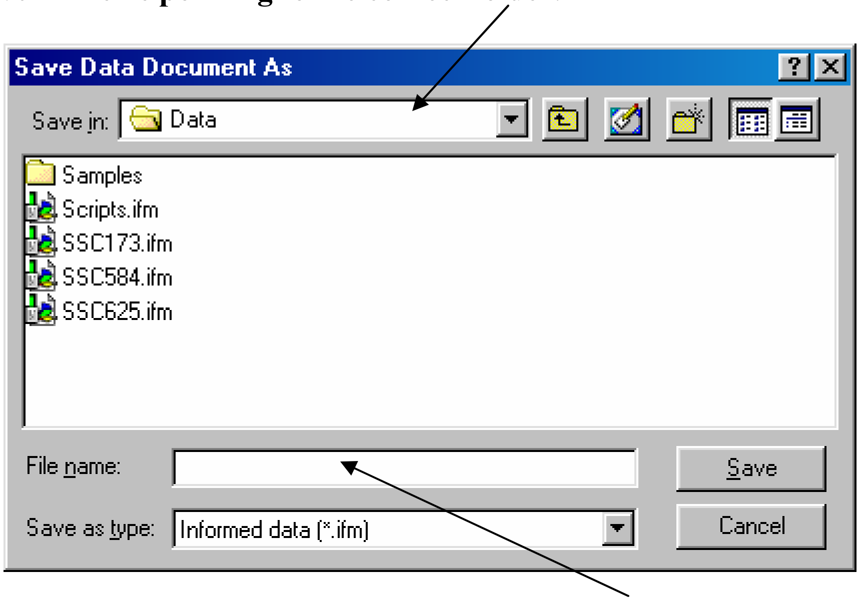
To **TRANSFER** a note to the clipboard:

- Select the note and choose **Edit >Cut** to remove the note and place it on the Clipboard.
- After changing pages, choose **Edit >Paste** to transfer the note from the Clipboard back onto a different page on the form.

SAVE:

At this point your form only exists in the computers memory, which is dependent on electricity. Data entered in Informed® is NOT automatically saved.

To save your data document, click on File from the menu, choose Save. Make sure that the 'Save In' list is **pointing to the correct folder**.


Save Data Document As
Save in:
Data
Samples
Scripts.ifm
SSC173.ifm
SSC584.ifm
SSC625.ifm
File name:
Save as type:
Informed data (*.ifm)
Save
Cancel

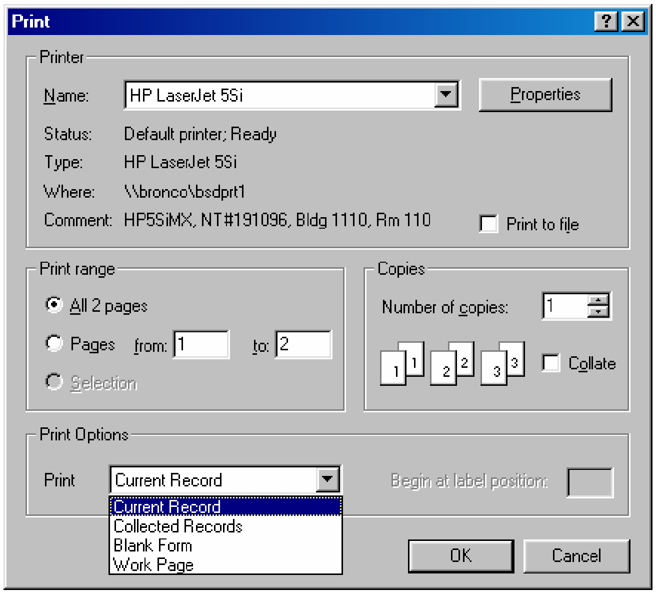
- Type in the document name in the **File Name** text box.
- Press Enter, or click on the Save button.

PRINT:

You can print the form by clicking on the Print button.

You can also choose **File** > **Print**.

Note: You want to select **Current Record** in the 'Print Options' field when printing.



Print

Printer

Name: HP LaserJet 5Si

Status: Default printer; Ready

Type: HP LaserJet 5Si

Where: \\bronco\bsdprt1

Comment: HP5SiMX, NT#191096, Bldg 1110, Rm 110

☐ Print to file

Print range

● All 2 pages

○ Pages from: 1 to: 2

○ Selection

Copies

Number of copies: 1

☐ Collate

Print Options

Print Current Record

Begin at label position:

?
Properties
1
1
2
2
3
3
Current Record
Collected Records
Blank Form
Work Page
OK
Cancel

APPENDIX E – GUIDANCE — WHAT IS A RECORD?

E.1 What is a NASA Record? Do I Have any Official Agency Records?

a. Every employee is responsible for determining if the documentary materials they have are official Agency records, non-records, or personal papers. Distinctions between these three types of documentary materials are important because each type needs to be properly managed. According to Federal law and Agency policy, official records must be maintained, retired, and destroyed based on the retention periods specified in approved records disposition schedules (Federal requirements; State requirements; NASA Records Retention Schedules, NPR 1441.1).

b. Use the following questions and answers to help identify and distinguish official records from other types of documentary material you may have. By answering yes or no to the series of questions, you will be guided to the most likely classification for the item in question. If, after using this tool, you are still unsure of the record status of the material contact your organization's Records Custodian or the SSC Records and Documentation Management Office (RDMO) at (228) 688-3671 (e-mail: SSC-RDOMSX@mail.nasa.gov).

Table 2.E - What Is A Record? Q& A

DOCUMENTARY MATERIALS – DO ANY OF THE FOLLOWING APPLY?		ANSWER YES	ANSWER NO
1.	ADEQUACY OF DOCUMENTATION – a) Does the material document/facilitate: • Agency actions (ensure continuity and consistency)? • Formulation of policies and decisions? • Board, committee or staff meeting notes? b) Does the material protect government and individual rights and interests (financial, legal, other)? c) Does the material provide information required by Congress?	Proceed to 2 or Go to 6.	Go to 5.
2.	VALUE – a) Does the material have administrative or fiscal or legal value? b) Does the material have historical, informational, or evidential value? c) Does the material have programmatic value?	Proceed to 3 or Go to 6.	Go to 5.
3.	PRESERVATION ISSUES – a) Is/Was the material filed, stored, or otherwise systematically maintained by the Agency? b) Is the material historically significant?	Proceed to 4 or Go to 6.	Go to 5.

DOCUMENTARY MATERIALS – DO ANY OF THE FOLLOWING APPLY?		**ANSWER YES**	**ANSWER NO**
4.	PURPOSE – a) Is/Was the material mandated by statute or regulation? b) Does the material support a NASA financial or legal claim or obligation? c) Is the material required to operate NASA programs or provide program support functions? d) Is/Was the material created or received in the conduct of Agency business?	Go to 6.	Go to 5.
5.	Does the material consist of non-official or private information that pertains solely to an individual's own affairs and does not relate to, or have an effect upon, the conduct of Agency business?	Go to 10.	Go to 11.
6.	Are you/your organization the custodian (i.e., creator or sponsor) of the document?	Go to 7.	Go to 4.
7.	Did you comment or take action on the document?	Go to 8.	Go to 10.
8.	Is retention of this version of the item necessary to support the decision trail of your comment or action? *(Note: if the comment/action regarding the item is officially summarized or documented elsewhere, the copy is a Non-Record.)*	Go to 9.	Go to 10. *Non-Record*
9.	OFFICIAL RECORDS: a) Any documentation related to NASA's administrative and programmatic activities. Examples of records include: • Decision Papers • Memoranda • Letters • Imagery (still & motion) • Data Files • Design Records • Flight and Test Files • Reports • Originals of Publications, etc. b) Supporting materials sufficient to document and/or explain the document trail/decision making process for administrative, legal, authorization, programmatic, and historical purposes. May include drafts, annotations, reports, raw data, meeting minutes, emails, faxes, etc. *(Note: Official records may be originals or copies of original records.)*	Retain in official file system and archive when no longer active. Manage in accordance with applicable records retention schedule. (See Federal, State, or NPR 1441.1 requirements). Official files/records must be labeled with correct retention schedule and disposition information.	Unsure? Start Over or Contact Records Custodian or RMO for assistance.

DOCUMENTARY MATERIALS – DO ANY OF THE FOLLOWING APPLY?		**ANSWER YES**	**ANSWER NO**
10.	NON-RECORD MATERIAL: • Materials that do not contribute to an understanding of Agency operations or decision-making process. • Materials that have no substantial programmatic value. • Convenience or reference copies of official record documents retained elsewhere. • Information/Reference copies of records sent to individuals or offices interested in, but not acting on, a matter. • Technical reference documents needed for general information, but not part of the office's records.	Segregate from Record Material. Label, retain, and dispose in accordance with applicable schedule (i.e., when no longer needed or reference value ceases).	Unsure? Start Over or Contact Records Custodian or RMO for assistance.
11.	PERSONAL PAPERS: • Diaries and journals not prepared for transacting government business. • Papers accumulated by an official before assuming a NASA office. • Privately purchased books and publications that do not relate to Agency business. • Records related to private, personal matters kept at the office for convenience. • Presentations or papers of a professional nature not representing agency opinion or policy.	Label personal property as such and segregate from NASA record and non-record materials.	

E.2 What is Nonrecord Material?

All that glitters is not gold, and not all that is on paper or on disk is a record. Be sure you know the difference. Appearances can be deceiving. Non-record material is often valuable for other reasons, but not as a *record*. Examples of non-records (which may look like records) include the following.

- ***Extra copies of documents preserved only for convenience or reference (such as reading files or copies made for circulation within an office)***

  Rule of thumb: There will only be one record copy of any incoming document, but there *may* be more than one record copy of an outgoing document depending on whether it needs to be recorded in more than one file.

- ***Drafts, worksheets, and notes that do not represent significant steps in the preparation of record copies of documents***

Preliminary drafts of correspondence not circulated for comment, worksheets, and notes used in writing the final report or correspondence. The five drafts you go through to produce a final report or piece of correspondence are not records. Background notes may be important to your research, but they are not, by definition, records. Once the finished product is complete, your notes and earlier drafts can be tossed.

- ***Transcribed shorthand notes and stenographic materials of all types***

The most "finished" draft is the record copy. Once transcribed, the shorthand notes can be tossed; once in final draft, the first draft of a transcription loses record quality.

- ***Stocks of publications and processed documents preserved for supply purposes***

Only one copy of a publication is the record copy. All others are useful for reference purposes but are not the official record.

- ***Materials preserved solely for purposes of exhibition in libraries or museums***

Three-dimensional artifacts may be a lot more interesting and fun than two-dimensional paper and computer disks, but they are not records. Lincoln's draft of his "Gettysburg Address" is a record; a marble bust of Lincoln is not.

- ***Personal papers***

Personal papers are nonofficial - that is, private-papers relating solely to an individual's personal affairs. They must be kept separate from official records and clearly designated as such. This is particularly important in electronic records: one should not mix official files and personal files on the same floppy disk or in the same sector of main-frame storage. Unlike records, they may be destroyed or removed at the owner's discretion. Ideally, personal papers should not be kept in the office, but somehow they always are. Examples are:

- The fire insurance policy and photographs of the contents of one's home, kept off-site (i.e. in the office) for security purposes.
- One's diary, perhaps also kept off-site for security purposes - although security of a different nature.
- Text of an address given at a professional meeting but not given as a representative of the office where one works.

- Material kept concerning personal membership in and works with a professional society or committee may be records but are not *government* records.

➢ ***Technical reference materials***

Technical reference material is vital to running an office. In fact, it can be so important for the information it contains that it is often mistaken for a record. Technical reference can be separated from record material by asking this question: *Was this item produced by this office and is this office responsible for keeping the information in it?* If the answer is no, the material is probably technical reference. Examples include:

- Supply catalogs from government and commercial sources.
- "How-to" manuals and style manuals proscribed by the agency.
- Telephone and other directories.
- Computer hardware and software manuals.
- Periodicals published by your agency and received by your office.

APPENDIX F – FILES MANAGEMENT GUIDANCE

The guidance provided here should be supplemented, as needed, by training. Training and direct hands-on support is available through the SSC Records and Documentation Management Office. This guidance should, however, provide the basic information needed by SSC Records Custodians, support personnel, and others to establish appropriate record keeping systems and manage the records created and maintained by the various SSC organizations and functions.

This guidance primarily focuses on the management of paper records but the basic principles for managing and retaining paper records also apply to electronic records. While electronic records are addressed to a small degree, personnel should consult with the SSC Records Manager or the Records and Documentation Office (RDMO) for more specific information on managing electronic records maintained in electronic systems or applications.

F.1 Training and Reference Materials

Numerous references are available in the public on filing systems and the management of records. The materials listed below have been referenced for the development of information provided in the SSC training program as well as this guidance. Other very useful references and information can be obtained on the web pages for the National Archives and Records Administration (NARA) at www.nara.gov and the American Records Management Association (ARMA) at www.arma.org .

- ARMA International Guideline For Records and Information Management – Subject Filing, ARMA International, 4200 Somerset Drive, Suite 215, Prairie Village, KS 66208, ISBN: 0-933887-29-9.
- ANSI/ARMA 1-1997 Standard For Records and Information Management – Alphabetic Filing Rules, ARMA International, 4200 Somerset Drive, Suite 215, Prairie Village, KS 66208, ISBN: 0-933887-58-2.
- ARMA International Guideline For Records and Information Management – Filing Procedures, ARMA International, 4200 Somerset Drive, Suite 215, Prairie Village, KS 66208, ISBN: 0-933887-33-7.
- ARMA International Guideline For Records and Information Management – Numeric Filing, ARMA International, 4200 Somerset Drive, Suite 215, Prairie Village, KS 66208, ISBN: 0-933887-32-9.
- ARMA International Guideline For Records and Information Management – Vital Records, ARMA International, 4200 Somerset Drive, Suite 215, Prairie Village, KS 66208, ISBN: 0-933887-14-0.
- ARMA International – Glossary of Records and Information Management Terms, Second Edition, ARMA International, 4200 Somerset Drive, Suite 215, Prairie Village, KS 66208, ISBN: 0-933887-92-2.
- ARMA International – Guideline for Managing E-mail, ARMA International, 4200 Somerset Drive, Suite 215, Prairie Village, KS 66208, ISBN: 0-933887-91-4.

- Active Filing for Business Records, Ann Bennick, Ed.D., CRM, ARMA International, 4200 Somerset Drive, Suite 215, Prairie Village, KS 66208, ISBN: 0-933887-85-X.
- Information and Records Management, Document-Based Information Systems; Mary F. Robek, CRM; Gerald F. Brown, CRM; and David O. Stephens, CRM, CMC. Fourth Edition, Glencoe, McGraw Hill, ISBN 0-02-801793-5.

F.2 Importance of the Filing System

The organization of your filing system is crucial to Records Management. Without the files and records, we would not be able to track or manage our active projects and gain the knowledge we need for new endeavors. Every employee is responsible for keeping the records of their work in an organized fashion. Efficient and cost effective operations rely on good records management.

Pretend that you need a project plan that was completed a year ago. Where is it? What did you or the project manager do with it? With a consistent filing system, you or others would know exactly where to go. Unfortunately, this is not always the case, and people spend too much time searching for needed records – cutting productive time. Obviously, the less time spent digging around in filing cabinets or searching for inappropriately stored boxes will result in a more productive day at work.

Effective filing is important for not only your daily activities but also your long-term records. When filing is structured and processes are in place for all to use, the Agency's history and records are easily tracked and ready for submittal into proper archives.

F.3 Objectives of Filing Systems

Most filing systems are seen through the personal perspective of employees. For an administrative assistant, probably the most important documents are correspondence; for an accounting clerk, they are forms; to an engineer, they may be project or case files, plans, or drawings; to the personnel officer, person- or case-oriented files would be important. Efficient filing depends on uniform files classification systems that make sense to the users. This includes all users throughout the organization.

There are three objectives for filing systems:

(1) Constancy: The principal objective is that users must be able to retrieve information when needed. While personnel and organizations may change, a well designed filing system remains constant. Anyone using the files arrangement documentation should be able to retrieve and re-file a desired record. As changes occur in departments, and files concerning research and development become operating files, uniform files classification simplify the transfer process.

(2) Preservation of Order: The set order of records is identified and preserved in a good filing system. Certain records belong with other records. Their meaning would be destroyed if the records were separated.

(3) Uniform Classification: A good filing system establishes uniform classification which preserves the set order of records and establishes common titles. Records classification imposes order and logic upon records and also recognizes the differences in value of records. In a well designed system, all elements of an organization's collection are recognized.

F.4 Methodologies of Filing Systems

File systems consist of documents, file folders, and files dispersed throughout an organization. These systems usually take into account incoming and outgoing correspondence, internal and external supporting materials, working papers and other related records. Locating even one document can be time-consuming unless the documents are arranged in some systematic order.

File systems are made up of units and normally in some order of hierarchy. There is no standardized filing system that will absolutely work for all organizations. There are numerous filing methodologies that can be used and various criteria for determining which is better for what purpose. Examples include: Alphabetic, Subject, Numeric, Alpha-Numeric, Encyclopedic, etc., or various combinations of these. The most important filing concept to remember is that all filing is done to retrieve information. To retrieve information efficiently and to manage the records, a set of rules must be followed. Each type of filing system has its own unique rules for its establishment and maintenance.

While the AFS has been a recommended method to provide commonality for all of NASA, its use is not absolutely required. Your files need to work for your organization. If you currently use and like this method, fine; you may keep using it. However, it is not necessary as long as the methodology chosen and file labeling includes the necessary information for records retention and disposition as prescribed by NPR 1441.1.

You may file alphabetically, chronologically, or numerically, using categories broken up by subject, category, terminating period, etc. Do whatever works best for the organization and its operations and functions. With decentralized filing, files at a department level may be organized one way while those for lower operating units and functions may be organized and handled in yet another.

Also, do not forget about email and electronic files. Electronic filing systems should be just as organized and are just as important.

Each department should make accommodations and use what works best. The following general recommendations are offered.

✓ Be Consistent
  - Establish a plan, communicate the plan to all personnel, and ensure filing is done the same way each time. If you begin a file system by separating say contracts or projects by name, do not convert to separating by year later.
  - If you begin alphabetically filing using the subject "rocket article," do not change to "vehicle."

✓ Be Smart
  - Use techniques that will benefit the organization's work.
  - If you have various sub-subjects within each subject, you may want to separate by subject and then further file by a number or some other identifier within each category.
  - Generate and use file names that are recognizable and memorable.

✓ Be Loud
  - Communicate with organizational employees.
  - Let everyone know "how it works" to ensure that both Joe Smith and Jane Jones file their records using the same method. You would hate for Joe to file using "rocket article" and Jane using "vehicle."
  - Training new employees becomes the responsibility of the Records Custodian and management.

✓ Be Concise
  - File Less
  - Do not keep unneeded papers/copies. This will only clutter an office; intensifying filing may double (or even triple) everyone's work.

✓ Be On Top — Records Management and filing should be a part of daily activities.

F.5 Establishing File Systems and Records Management Practices

F.5.1 Records Survey – Identifying Your Records

You can't establish a filing system or manage the records of an organization if you don't know what files and records are created, received or maintained by the organization or who's got them. Identifying all of an organization's records, including those in electronic format, is absolutely essential and is the first step in establishing appropriate filing systems, filing processes, and records management practices.

The following guidelines are provided for surveying records for development of an inventory.

(1) Survey all offices, work areas, and individuals of the organization to find out what's being created, received, or maintained. The survey should include common file areas as well as all

materials maintained in individual's offices, in file cabinets, and their personal computers. The survey should also address materials maintained on shared drives, applications, and IT systems.

(2) Identify the exact locations (building, room number, and as appropriate the system or application name) where the records are held and who is responsible (creator or caretaker) for them.

(3) Ask the following questions for each record identified: (Note: An understanding of records management definitions is critical.)

- Is the record the original or only copy? Is it the Official Record of an action? Is the same record also maintained elsewhere? If so, which one is the Official Record?
- Is the record transitory in nature or needed for longer term use?
- Is the record for reference only or working papers?
- Is the record a part of or should it ultimately be a part of a larger "case file" for an activity?
- Is there a relationship of the record to other records?
- Does the record exist both electronically and on paper?
- How is the record used, for what purposes, how often, and generally by whom?
- Is the record a Vital Record that must be protected and preserved for continuity or resumption of business during or after an emergency or disaster?
- If electronic, is the record routinely backed up? Is it also saved anywhere else? If so where?

The answers to these questions will provide the necessary information to:

(a) Determine what official records are and what are not.
(b) Develop the filing systems appropriate to records need and use.
(c) Determine the correct retentions for the records.
(d) Implement appropriate safe-keeping and preservation methods.
(e) Determine the records that must ultimately be consolidated in case files.
(f) Develop common organizational processes and practices to ensure the capture of records and filing in the appropriate filing system.
(g) Determine what and which locations will serve as official filing systems.

Note: The designation of official filing locations makes life a lot easier when reorganizations occur and when employees terminate or transfer. You know exactly what and where the official records are and the other "stuff" that accumulates can be treated as working papers or nonrecords which can be disposed when no longer needed.

Ultimately the records inventory will help form the foundation for developing your Master Records Index.

F.5.2 Establish a File Plan

Even the best filing system can soon become unusable and outdated if the structure is not documented, regularly maintained, and communicated throughout the organization. The file plan formally establishes and specifies the logical order of documents or files and the arrangement or scheme by which all documents may be identified, stored and retrieved. The file plan will let people know not only where to retrieve records, but also where to return or re-file them. It will also provide the structure for adding new records to the system.

The records inventory is essential to the development of the file plan for organizing records. In turn, the file plan fits into the preparation and maintenance of the organization's Master Records Index.

Many might consider the MRI required for SSC organizations to be a File Plan. In actuality, it is not unless it truly follows the filing approach provided by the NASA AFS. Regardless, all organizations should develop and maintain a file plan or plans for its documents and records.

The file plan (or plans) should be a very specific document that identifies:
- The official filing locations,
- What specific documents or types of records should be filed in those locations,
- What the prescribed filing structure is (subject, alphabetical, numerical, etc.) and how it works, and
- Who is allowed access to the records and who is responsible for the particular records system's maintenance.

A copy of the file plan (or plans) should be maintained in the main office as well as in each of the locations where the records are filed.

APPENDIX G – VITAL RECORDS INVENTORY SAMPLES

G.1 COOP List of Emergency Records

Record Type/Description	Number/Title	Source/Medium
Emergency Operating Records:		
Emergency Management Plan	SPLN-1040-0006	Electronic
NASA Organizations	NPD 1000.3	Electronic
SSC Organization Mission And Responsibilities	SPD 1107.1	Electronic
Security of Information Technology	NPR 2810.1	Electronic
Building Blue Prints		
Various Systems Manuals		
IT Security Plan	SPLN-2810-0016	Electronic
Legal and Financial Rights Records:		
Federal Personnel and Payroll System (FPPS)		Electronic
Official Personnel Folders		Paper
Official Training File – Office of Human Capital		Electronic/Paper

G.2 Vital Records Inventory List Review Examples

The following list is provided for example purposes only of the types of records that might be considered as Vital for inclusion in a Vital Records Inventory. This list is not all inclusive.

General (Administration and Management):
- Emergency Plans & Procedures.
- Telephone Books (SSC, Local, HQ).

Legal and Technical:
- Contracts.
- List of Warranted Contracting Officers.
- Invention Disclosures & Patents.
- Agreements.
- IT Systems Documentation, Licenses, Support Contacts.

Budget and Fiscal:
- List of Authorized Financial Certifying Officials.
- Payroll information.

Personnel:
- Personnel Manuals and Policies.
- Personnel Service Records.
- Training Records.
- Employee Retirement and Insurance.
- Alphabetical employee listings by organization.
- Personnel contact information.

Industrial:
- List of maps and documents of SSC real property.
- Real Property Records.
- Site building and system drawings.
- Propulsion Test Hardware & component documentation and certifications.

Security:

- Personnel Security Clearance Files.
- Identification/Badging Control Files.
- Reports on Investigations on Claims, Misconduct, or Fraud.

Engineering and Technical:

- R&D Engineering Drawings.
- SSME Records.
- R&D Program/Project Data.

APPENDIX H – GUIDANCE — RECORDS/VITAL RECORDS DISASTER PREPAREDNESS, MITIGATION, AND RECOVERY

H.1 Introductory Note

When implementing a Vital Records program, a key thing to remember is that you cannot save all the records. However, by performing certain important steps you can:

- Protect some records against disaster.
- Lessen the damage caused by a disaster.
- Identify those records which merit restoration if they are damaged.

The following guidance and steps are provided to assist in identifying and preserving records and aid in recovery following emergency and disaster events.

H.2 Identifying Vital Records

Identifying Vital Records is one of the most critical tasks for records management personnel. It needs to be done immediately so that arrangements for can be made for the protection the records prior to a disaster or emergency situation.

The general guidance listed in the steps below may be helpful in identifying the records that may be necessary to continue business during an emergency and resume functions after a disaster.

Step 1: Identify the key functions or responsibilities of your office or organization based on the following criteria:

- Operational - Any functions which are vital to the operation and continuation of your office or Stennis Space Center as a whole.
- Legal - Any functions which provide proof of SSC's legal stand on an issue or contain information about its personnel or persons/entities doing business with the government.
- Emergency - Any functions which are needed during an emergency, i.e., telecommunications.
- Fiscal - Any functions which support SSC's financial standings, i.e. accounts receivable or general ledgers.

Note: Your organization's existing MRI and the organization's functional mission statement and organizational chart may prove extremely valuable tools in the identification of critical or key functions.

Step 2: Once critical responsibilities and functions are identified, ask and use the following questions and key considerations to help you identify your Vital Records.

- What function will your organization or office be unable to do if records are destroyed (i.e., can the work be carried out or continued if a record is gone)?
- How critical is the inability to perform the function?
- What will be the consequences to NASA/Stennis if the records are lost?
- Will any client or employee suffer loss of rights or be severely inconvenienced if the records are lost?
- If the records have to be reconstructed, what will the cost be in terms of time, money and labor?
- Will the information in the records have to be reconstructed or retrieved in a matter of hours, days, or weeks?
- Can these records be replaced from another source?
- Are the records on paper, computer, disc, microfilm?
- Are the records duplicated somewhere in a different format?
- Is the format easily accessible after an emergency?
- Uniqueness of the record – is it one-of-a-kind.
- Relationship of one record to another – are records critical to each other?
- Is the type of information needed during and following an emergency?

H.3 Risk Assessment

Once Vital Records are identified, risk assessments are required in order to determine the proper protection methods for the Vital Records. Risk assessments identify the potential hazards a record faces as well as how the records can be damaged by those hazards. Hazards can range from a natural disaster to spilled coffee, computer crashes, to unlawful access.

While Risk Assessments are largely an exercise in probability, since we can never know what is going to happen, a risk assessment will narrow the scope of protection and preservation methods and allow for some early disaster preparedness.

A risk assessment consists of four basic steps: 1) identifying the risks an office may encounter; 2) determining the level of impact a risk will have; 3) calculating the probability of a given risk happening; and 4) calculating the overall risk factor.

Step 1: The first step is to identify the five or six most important risks to a particular office or function. Not all areas are likely to face the same risks, although fire and water damage are the most common. For example, an office that deals in research may have the added risk of sabotage, whereas an office dealing strictly with technology and computers would have a far greater risk of losing information in a power outage. The following table depicts three categories of disasters.

Table 3.H - Records Risk Assessment/Categories of Disasters

Natural Disasters	Technical Disasters	Human Disasters
Flooding	Power Failure	Data entry error
Fire	HVAC Failure	Improper handling of sensitive data
Earthquake	Malfunction/Failure of CPU	Unauthorized access
Wind/Tornado Damage	Failure of system software	Malicious damage or destruction of data
Snow/Ice Storm	Failure of application software	Robbery/theft/burglary
Volcanic Eruption	Electromagnetic interference	Bomb Threats
Epidemic	Explosion	Strikes/picketing
Vermin/Insects	Telecommunications failure	Civil disorder
Hurricane	Loss of physical access to resources	Chemical spill
Tsunami/Tidal Wave	Gas leaks	Vandalism
	Communications failure	Sabotage
		Hazardous material
		War

Step 2: The second step is determining the level of impact each disaster might have on the OPR and its ability to continue or resume operations. Use the following rating scale to put a numerical value to the level of impact. For example if the perceived risk to operations is an interruption of only 3 hours, then the impact Rating would be given a 1.

Table 4.H - Risk Assessment Impact Rating Scale

0 = No interruption in operations
1 = Interruption up to 8 hours
2 = Interruption for 8 - 48 hours
3 = Over 48 hours of interruption – cessation or relocation of operations necessary

Step 3: The third step requires an assessment of the probability of a disaster actually happening. Use the probability rating scale below to determine a probability.

Table 5.H - Disaster Probability Rating Scale

High = 10 points
Medium = 5 points
Low = 1 point

At SSC the probability of flooding or hurricanes are very probable (10 probability points) whereas the likelihood of an earthquake is very low (1 probability point).

Step 4: The final step is to determine a risk factor. This is done by multiplying the Impact Rating times the Probability Rating to give a risk factor value as shown in the example below. The resulting sum will be the Risk Factor which can be used to help determine the best methods of protection. If fire and water damage have high risk factors, SSC can look into the best protection methods from that sort of damage. If explosions are a high risk factor for your office, protection methods will be based on that factor and off site storage would probably be best. Questions regarding the risk factor or the risk assessment process overall should be addressed to the SSC Records Manager or the RDMO.

Impact Rating		Probability Rating		Risk Factor
(3)	**X**	(10)	=	(30)

For uncertainties regarding the disasters or risks that might affect an area or office, the following questions may assist in the identification of potential risks.

Climate	• Is the area subject to extremes or sudden changes in temperature or humidity? • Which materials would be affected by changes? • How soon after failure of your heating or cooling system will the climate in the area exceed recommended environmental conditions?
Topography	• Is the building situated by a lake, canal, river or ocean? Is that body of water tidal? • Is there a basement? Is it below water level or water table level?
Extreme Weather	• Is the area subject to hurricanes, tornados, extreme wind/rain/lightning? What sort of damage could occur in the office? • What extreme weather elements are most likely to affect your office?

Building Structure	• What are the building's structural materials? • Does the building have a flat roof, skylights, roof access doors, or internal roof drains? • Are there water/sewer pipes running through records storage areas?
Hazardous Materials	• Are hazardous materials such as gas cylinders, solvents, paints, etc. stored in the building or adjacent areas nearby? • Have potential hazards such as, poisonous/flammable/reactive chemicals, etc. been removed from the area?

H.4 Protecting Vital Records and Disaster Preparedness

After your Vital Records have been identified, and risks determined, a protection and preservation method must be identified that best suits the risks, record format and need for access. The protection method will be based on several factors, including:

- Cost and effectiveness of protection.
- Equipment necessary to enforce the protection method.
- How vital the record is.
- Format of the record.
- Access and retrieval needs.
- Type of hazard the record faces, as determined through a risk assessment

Vital Records should be stored in a format that will last as long as the records are needed. If a Vital Record is in a format only readable by specific equipment (e.g., microfilm reader, computers), procedures for accessing/obtaining the equipment must be arranged. For example, if a Vital Record is in electronic format, then the hardware or software used to create the record also needs to be protected or arrangements made to obtain compatible equipment.

The main protection method for Vital Records is typically through Duplication or Dispersal of records. This entails the physical duplication of information and the transfer/dispersal of these duplicates to a protected storage location, either on or off site.

The benefits of duplication/dispersal are:

- The minimal chance that the primary copy and all distributed copies will be destroyed.
- It is cost efficient.
- It is easy to do and can usually be done in the normal course of business.

The drawbacks to duplication/dispersal are:

- The volume (e.g., number of pages or number of copies needed) of the record, may cause this method to become burdensome over time.
- The distribution of additional copies of information on paper is a poor records management practice. In cases where several offices have the same record, the copy maintained by the OPR is the official copy for primary retention purposes.

There are two ways of achieving duplication/dispersal:

- Natural/built in: The information is routinely distributed or backed up to designated or alternate locations in the normal course of business. This is the least expensive form of protection since it often occurs in the normal course of business, usually without offices being consciously aware of it.
- Reproduction: This represents the decision to duplicate or transfer the record onto a different format specifically for its protection. Scanning or magnetic media are common forms of reproduction.

H.5 Storing Vital Records

Determining where and how to store vital records is the next crucial step after determining the methods of protection. The location selected may need to be accessible within seconds to 24 or more hours after a disaster. Vital Records can be stored on-site, off-site, or in specialized equipment.

H.5.1 Storage On-Site

On-site storage means storing Vital Records in the same vicinity as your office, such as in a closet or storage area in the building. The drawback to choosing on-site storage is that if a major disaster strikes the entire building or damages it beyond repair; you have little chance of retrieving your Vital Records.

If Vital Records are stored in the same building your office occupies, precautions must be taken to prevent a disaster from spreading to the storage area. This could range from installing fire doors and walls, to following basic best practices to protect the records. Best practices range from actual physical location to working conditions within the storage area.

The following questions should be asked and resolved for each office which has Vital Records in their active files:

- Does the selected storage area have ventilation? Does it have proper temperature and humidity controls?
- Are there electromagnetic fields nearby that could damage computer tapes or disks?

- What security measures are in place to stop unauthorized access to the area?
- Is the building itself secured against fire, flood and other disasters?
- Is the equipment used for storage adequately safe from disasters and sabotage?
- Would it be safer storing the only copy of a Vital Record on-site or off-site?

If on-site storage is selected, the following concerns and issues should be also addressed:

- Are there potential fire, water or sewer or other hazards. Any corrections or repairs should be addressed immediately (leaking overhead pipes may cause a disaster). Records should never be stored directly under any type of pipes.
- Staff members should know the location of the vital records and access to materials should be restricted to authorized personnel.
- Records should be managed in accordance with the NRRS and inactive records should be transferred on a regular basis to the SSC Records Archive.

Note: Basements or ground floor areas should be used for storage as a last resort since they are most susceptible to water and sewer damage.

H.5.2 Pros & Cons on Use of Specialized Storage Equipment

On-site storage may involve the use of specialized equipment, such as vaults, fire-resistant cabinets and/or fire-resistant safes. While this equipment may provide some initial protection against fire damage, it may not be immune to water damage. Fire-resistant equipment is often used as a last resort when there is very little office space, no storage areas available to hold duplicated Vital Records, or duplication is not cost effective based on the level of risk.

Disadvantages of specialized equipment include:

- The possibility of spontaneous combustion when a drawer is opened after a fire, the result of oxygen being released back into the drawer's atmosphere.
- Inadequate protection from extreme temperatures. If the fire is hot enough, the paper records will burn in the drawer.
- The high cost of specialized equipment.
- The susceptibility of specialized equipment to water damage.
- Materials used in construction will make specialized equipment heavy and burdensome, which can be a hazard after a fire because of increased weight from water gain.
- The weight load of the equipment may be too heavy for some floors in older buildings.

If specialized equipment is going to be used it should be designed specifically for the type of record medium it contains and used exclusively for Vital Records.

Satisfactory fire-resistant cabinets/vaults are rated according to the maximum number of hours they can be exposed to fire and maximum temperature while still protecting the contents. For example, a rating of UL 150-3 means that this piece of equipment has an Underwriter's Laboratory Class 150 rating with 3 hours of protection from fire damage. Vendor catalogs will give the specifications and equipment costs according to level of resistance. However, keep in mind that the "hours of protection" will decrease as the temperature of the fire increases.

H.5.3 Storage Off-Site

Off-site storage means storing the records away from the office, in another building, or out of the geographical area. For SSC purposes, certain records will be preserved on CDs for immediate removal to on off-site emergency operations location in the event of a disaster or impending emergency requiring evacuation of the Center. This location (Hot site) will be used during the immediate course of the emergency for emergency operations. Other records will be routinely backed up and sent to an off-site location from which the records can be accessed or retrieved for immediate needs or the resumption of business following the disaster (Cold site).

- Hot site - An area identified prior to an emergency/disaster as the operation center or meeting place from which SSC will continue operations during the term of the emergency.

  In general practice, Hot sites usually contain everything an office has identified as critical for operation, ready for immediate use. This method of protection can be costly and is best used by offices which will require computer systems to be up and running immediately after a disaster or by offices with the responsibility for organizing and running recovery procedures (i.e., police, physical plant, computing and communications).

- Cold site - A cold site is an area identified as a back-up location in case the original office is unusable after a disaster. It differs from a hot-site in that there is no requirement for unique equipment or supplies which are necessary at a hot site during an emergency.

  Again, in general practice, and although it is much less costly, re-establishing operations from a cold site may involve more time and effort. If the cold-site is used to store Vital Records, the cost of duplicating and delivering the Vital Records to the site must be considered in a cost analysis.

H.5.4 Environmental Considerations for Storage of Vital Records – Best Practices

Certain environmental considerations must be made for any area chosen to store Vital Records. Best practices are provided in the Table 6.H to ensure that records will be in relatively good condition when they are needed. Few areas will be able to meet all of the conditions but the objective is to get as close as possible to optimum temperature and humidity levels.

If a dust and air filtration unit is available in your records storage area, it should be able to remove approximately 90% of the airborne particles (dust, chemicals, outside pollutants, etc.) that may work their way into the area.

Table 6.H – Environmental Considerations for Storage of Vital Records

Paper	• Storage facility should be maintained at 60 - 70 degrees Fahrenheit (F) with a Relative Humidity (Rh) of 50 - 55%. • Extended exposures to humidity below 30% will cause drying and brittleness of paper; extended exposure to humidity higher than 75% will cause mold spores to develop. • Temperature and humidity should not fluctuate over 5% during a 24 hour period.
Magnetic Media (magnetic tape, floppy and optical disks):	• Storage facility should be maintained at a temperature of 65 degrees F with an Rh of 30 - 40%. • Temperature and humidity should not fluctuate more than 5% within a 24 hour period. • Magnetic Media is extremely sensitive to heat, water, steam, magnetic fields, and sunlight - try to limit exposure to these conditions. Optical disks should be stored at a temperature 55 - 65 degrees F with an Rh of 20 - 40%.
Microfilm, Negatives, Photographs:	• Air should be filtered to remove dust from storage areas. • Microfilm storage area should be maintained at a temperature not exceeding 65 degrees F with an Rh of 20 - 30%. • Photographic storage area should be maintained at a temperature of 70 degrees F with an Rh of 45 - 50%. • Temperature and humidity should not fluctuate over 5% during a 24 hour period. • Security copies of microfilm should be stored in acid free containers.

H.6 Disaster Recovery

There is always the chance that records will be damaged in some way after an emergency. Information is provided here for stabilizing and recovering damaged records. Some steps can be taken immediately; others should wait until representatives from Records Management or other knowledgeable sources can provide assistance with recovery.

Coordination of recovery efforts should be conducted both before and after a disaster strikes. Records Management should be contacted as soon as possible after an emergency in which records are damaged regardless of the extent or severity of the damage.

H.6.1 Emergency Preparedness

Before an emergency the following actions should be completed and resource materials should be available for immediate access either by the affected office or other recovery personnel.

- Emergency contact lists (personnel, vendors, and phone numbers for help resources.) – preferably stored in an alternate safe location and/or in waterproof containers.
- Index of Vital Records and their locations (including maps as necessary) – preferably stored in an alternate safe location and/or in waterproof containers.
- Appropriate supplies for use in initial recovery efforts, which may include:
  - Paper towels.
  - Plastic garbage bags.
  - Protective masks, gloves, and clothing.
  - Flashlights.
  - Plastic sheeting.
  - Scissors.
  - Mops and buckets
  - Paper, pencils, and water proof markers.
  - Master keys of offices, storage areas, desks, and cabinets.
  - Hard hats.
  - Rubber gloves.
  - Clip boards.
  - Camera and film.

H.6.2 Basic Stabilization Rules

Because of differences between various media types, recovery efforts will vary from office to office. But there are a few basic rules that all offices need to follow after a disaster:

- Do not use fans in rooms that have water damaged records.
- Keep the temperature as cold as possible in rooms that have water damaged records.

- Keep rooms that have water damaged records well ventilated.
- Bring down temperature and humidity to help the water evaporate.
- If records have incurred sewer damage, or hazardous waste leakage, contact the SSC Environmental Office and/or the Safety Office, as the area will need to be cleaned by Biohazard specialists.
- If microfilm or electronic media (tapes, disks, etc.) have gotten wet, keep them wet, do not let them dry.
- Do not store/seal wet paper records in plastic bags or boxes except in cases of immediate need for removal to safety and prevention of further damage and then immediately unpack and follow rules provided above.

H.6.3 Records Recovery Processes Guidance

More detailed guidance on recovery processes is provided below. Many actions should be implemented by knowledgeable professionals. However, the “dos” and “don’ts” of this information are important in mounting a records recovery effort that will allow the recovery of the most records possible.

H.6.3.1 Wet Paper

Rapid response for wet paper is essential. Wet records stick together; inks run; books swell; mold growth occurs. Because wet paper is fragile, careful handling is required. No drying method will fully restore wet collections and they may not look the same or may need to be replaced. Immediate steps include attention to the immediate environment – remove water, control temperature and humidity, protect and segregate dry collections, stabilize damaged records. Various techniques may be utilized.

Air Drying is most suitable for small numbers of damp or wet documents. It is inexpensive but labor intensive and requires a great deal of space. Mold may develop and care must be taken with soluble inks.

A clean, dry environment with temperature below 70 degrees F and humidity below 50% should be provided. Air should be continually circulating to accelerate drying and discourage mold growth. Fans should be aimed away from drying records. Single sheets can be laid out on tables, floors, etc. Coated papers must be separated from each other to prevent sticking. Because dried records will take up more space than undamaged ones, photocopying may then be used for file reconstitution.

Freeze Drying is better for larger volumes of materials. A self-defrosting freezer with temperatures maintained below -10 degrees F is required. Materials must be placed in freezer as soon as possible after becoming wet. Documents may be placed in stacks or spread out for faster drying. The process can take several weeks.

Vacuum Freeze Drying is suitable for large volumes of records and for water-soluble inks. Records should be placed in a vacuum chamber and dried at temperatures below 32 degrees F. The process prevents additional swelling and distortion and is acceptable for rare and unique materials.

Dehumidification processes allow collections of records to be left in place. Large, commercial dehumidifiers are placed directly in the facility where wet records are located. Temperature and humidity are carefully controlled and collections can stay in their storage containers. Dehumidification is especially effective with buildings that have suffered water damage.

H.6.3.2 Nontextual Media

Records preserved as nontextual media such as electronic records and sound and videotapes also require special attention and techniques.

Magnetic Tapes can stay wet for several days but **Must Not Be Frozen**. Tapes soaked by dirty water should be rinsed but the magnetic media must not be touched with bare hands. They must be handled only by hubs or reel. Tapes should be kept in plastic bags till they can be air dried and should be packed vertically in plastic tubs or crates. **Air dry only**.

Floppy Disks should be immediately packed and **Must Not Be Frozen**. Disk surfaces should not be touched with bare hands and should be kept wet until they can be air dried. Disks should be packed vertically in plastic bags or tubs of cold water. **Air dry only**.

Compact Disks should be immediately air dried. Surfaces should not be scratched. Disks should be packed vertically in crates or cartons.

Sound and Video Tapes should be rinsed if soaked by dirty water. Magnetic media should not be touched with bare hands and **Must Not Be Frozen**. Tapes should be kept wet in plastic bags until they can be dried. They should be packed vertically in plastic tubs or crates. **Air dry only**.

H.6.3.3 Disaster Recovery Principles and Dealing with Mold

Dealing with and preventing mold growth requires immediate and dedicated attention in the disaster recovery process. Active mold can stain or eat through paper and can be a significant health hazard. People with asthma or known allergies should not work with moldy materials. Protective masks should be considered. Various kinds of mold may occur and can be of various colors; they may look fuzzy or slimy when active. Attempts to clean active mold should not be conducted because it will smear and spread. Mold is hard to kill, but can be made dormant by improving environmental conditions. Dormant mold is dry and powdery. The following salvage principles and steps should be applied.

- Reduce humidity and temperature – humidity below 55% and temperature below 68°.

- If collections are wet, dry or freeze as appropriate for the type of record – this will not kill the mold but will stop its growth.
- Isolate affected areas – quarantine affected items by moving them to a clean area, or by sealing off the storage area.
- Begin to dry materials – dry wet materials in a cool, dry space with good air circulation; collections may be dried outside in the sun if humidity is low.
- Clean storage areas using moldicide where mold occurred.
- Avoid quick easy cures – "Fast Cures" such as spraying with Lysol or cleaning with fungicides can have adverse effects on records and people. Leave chemical "cures" to the people with training and proper equipment.

H.6.3.4 Biohazard Contamination

Records contaminated or potentially contaminated with biological hazards such as bacteria, viruses, or toxins present unique problems that should be dealt with only by professionally trained personnel. Experts are needed to test for and perform whatever cleanup is necessary. The following principles and steps apply.

- Segregate the materials:
  - Biological agents are infectious through inhalation, ingestion, penetration through of skin through open cuts, or with through contact with the mucous membranes of eyes or nose.
  - Affected records should be kept in sealed rooms, or if in small quantities, in containers such as biohazard bags.
  - Handling records should be kept to an absolute minimum.
  - Protective clothing, such as gloves and masks, should be worn by all staff working with the records.
- Call authorities – biohazards or potential biohazards must not be taken lightly and experts are required.